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ABSTRACT

School principals are asked nowadays to be a curriculum manager, staff motivator and evaluator, business manager, public-relations representative, safety expert, disciplinarian, site manager, and the list goes on. This resource contains a broad array of tools and information, including exhibits, forms, handouts, and charts that can be used to maximize principals' talents in the myriad roles they play. Chapter 1 focuses on recruiting and hiring. Chapter 2 contains information related to principals' personal growth in their position, including a leadership self-assessment tool. School improvement is the focus of chapter 3, and it includes items that can be distributed to principals to help them achieve school and district goals. Chapter 4 zeros in on evaluation practices and provides a number of assessment tools that can be added to any principal's performance assessment process. Finally, chapter 5 touches on some of the legal issues that school leaders face, including staff discipline. Appendix A contains a list of resource associations and organizations, publications, and Web sites. (RT)

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Developing the Effective Principal: Hiring, Evaluation, and Retention Practices for the Superintendent.

Jamie Whaley, Ed.

2002

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Developing the Effective Principal

Hiring, Evaluation, and Retention Practices for the Superintendent

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Developing the Effective Principal

Hiring, Evaluation, and Retention Practices for the Superintendent

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Jamie Whaley
Managing Editor

Introduction

Leading a school these days is no easy task. Principals are asked to don more "hats" than ever. Among them: Curriculum manager, staff motivator and evaluator, business manager, public relations representative, safety expert, disciplinarian, site manager, committee head/participant, mentor, fund raiser, school improvement planner, and, perhaps most importantly, student role model. Add to that an increasing responsibility to show results on standardized tests, and one thing becomes clear: A good principal is a unique and special person.

Unfortunately, the pool of such individuals is limited—and with more than 40 percent of school leaders expected to retire in the next five years, more districts need qualified principals who have both the experience and the desire to take up the profession's challenges. This is why Aspen Publishers compiled *Developing the Effective Principal*. We've put together a broad array of tools and information that you can use to help your principals maximize their talent in the myriad roles they play—thus ensuring the quality of your schools.

The exhibits, forms, handouts, and text included make up a unique collection of resources from school districts, associations, researchers, and higher education professionals from across the nation. All focus on some aspect of a principal's professional development. Each was selected to provide you with a ready-to-use form; a sample program, policy, or form to compare with your own resources; a handout to pass along to principals needing additional support; or narrative guidance to provide context for future decisions. The items are not necessarily related, but we've done our best to organize them in a most helpful way.

Chapter 1, for example, focuses on recruiting and hiring. It includes outreach information and suggestions for organic recruitment—i.e., developing new principals from your existing teacher ranks. The section also features sample job descriptions and numerous application and selection tools.

In Chapter 2 you find information related to a principal's personal growth in his or her position, including a leadership self-assessment tool. It also addresses the important issues of retaining principals through thorough orientation to their jobs and ongoing support of them as instructional leaders.

School improvement is the focus of Chapter 3, and it includes items that you can distribute to principals to help them achieve school and district goals. This chapter also provides key resources for shouldering the responsibilities of instructional leadership, staff development, goals and accountability, school climate, and parent and community relations.

Chapter 4 zeros in on evaluation practices and provides a number of assessment tools that can be added to any principal's performance assessment process. It features sample standards and goals, as well as data gathering resources, self-assessment forms, student and parent satisfaction surveys, portfolio guidelines, summative assessment forms, and performance improvement tools for principals needing additional assistance.

Finally, Chapter 5 touches on some of the legal issues that school leaders face, including staff discipline. It also explores issues related to negligence, supervision, contracts, and employment law and policies.

As always, we welcome your comments about the manual and invite you to suggest topics for future supplements. You may do this by completing and returning the customer FAX back survey at the front of the manual. We look forward to hearing from you.

The *Developing the Effective Principal* editors

Chapter 1

Recruitment and Hiring

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Recruitment and Hiring

OUTREACH

CONDUCTING A PRINCIPAL SEARCH*

How Can School Districts Increase the Candidate Pool?

Preventive measures to increase the pool of qualified candidates for the position can simplify a search. Anderson (1991) recommends developing a pool of qualified candidates inside the school by creating career ladders. For career ladders to work, he says, districts must give the individuals who occupy these positions sufficiently diverse experience to qualify them for the principalship. For example, assistant principals should not be treated as "single-facet administrators," good only as disciplinarians or directors of activities (Anderson).

Recruiting teachers through internships and training programs is another way of increasing the pool of qualified principal candidates. Barker (1997) tells districts to be aggressive: identify the professional and personal benefits of the principalship and then sell those benefits to talented teachers. Districts should also make sure the salary differential between the two positions is sufficiently large to motivate teachers to take on the responsibilities of the principalship.

At California's Oxnard Union High School District, the staff-development coordinator meets monthly with a hand-picked group of classroom teachers to discuss leadership and other topics essential to the principal's role. These teachers are given opportunities to shadow principals and to learn about credential and degree programs in educational administration (Adams 1999).

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*Source: E. Hertling, ERIC Digest Number 133, Educational Resources Information Center (ERIC) Clearinghouse on Educational Management, Eugene, Oregon, 1999.

Where Does the Principal Search Begin?

The first step in conducting a principal search is to announce that there is a vacancy. Seyfarth (1996) recommends first preparing a job model or job description. Because the duties differ from district to district and from school to school, Seyfarth suggests interviewing those who currently hold the position. Ask staff members, parents, and students to describe what they believe the school needs from their principal, Jones (1995) adds. The list of duties can then be converted into an inventory of results sought, and finally, descriptions of the job environment and priority actions can be included (Seyfarth).

By completing a job model, district officials may avoid a common problem: vacancy announcements that are too vague, often not even specifying the particular school where the opening exists (Anderson). An announcement that lists the special needs and characteristics of a school is more likely to attract good candidates, as well as increase the chances of selecting the right person for the job.

Elements in vacancy announcements include: required tasks to be accomplished by the person filling the position; important characteristics of the staff, students' family backgrounds, cultures, and feelings about the school; as well as information about other executives in the school system (Anderson).

Once the vacancy announcement is written, where should administrators advertise? Many districts announce all vacancies to current employees. Publications such as *Education Week* and newspapers should be considered, as well as state and national professional associations.

Anderson argues that having a set of criteria for selection before beginning the screening process is vital to the success of the search process. He cites Baltzell and Dentler's study (1983), which found that districts that put off establishing a list of criteria often did not hire based on skill or merit, but on how a candidate would fit into their district, thereby maintaining the existing system. All these elements of advertising a principal vacancy involve one very critical step: know your school (Jones 1995).

Who Does the Screening?

Typically, screening is a two-step process. First, the personnel office screens resumes and applications for candidates who meet specific certification and experience standards. Next comes the more formalized step of paper-screening of those candidates who pass the initial screening. Anderson suggests that this is where many districts begin to fail in their search process. What is needed, he says, is a standardized ranking system by which screeners can systematically rank applicants. As well, it is important to include others besides senior administrators in the screening process such as teachers, principals, parents, and students.

There are many different options available to districts at this step in their search. One is the use of an assessment center to screen potential candidates. The candidates participate in simulations that help districts to pinpoint potential principals' specific strengths in professional areas such as problem analysis, judgment, decisiveness, and leadership (Anderson).

Another option is the use of written assessments. Writing assignments help screeners assess not only the candidate's beliefs, but communication skills as well (Anderson).

What Constitutes an Effective Interview?

Although the interview is the most widely used and most influential tool in hiring decisions, it is neither valid nor reliable if used incorrectly. Anderson notes that the typical interview is unstructured, lasts less than one hour, and is highly influenced by first impressions. Studies suggest that interviewers may decide to hire or reject an applicant within the first five minutes of an interview (Anderson).

How can interviews be made to work? The first step is to determine who will interview the candidates. Interviewers should possess such qualities as alertness to cues, ability to make fine distinctions, and ability to suppress biases, Anderson says. In some exemplary districts, he says, superintendents establish the selection process, but then wait until a committee of parents, teachers, and principals identify two or three top candidates. Winter and others (1998) recommend training for interviewers, particularly teachers, who may search for an instructional leader and overlook other important administrative qualities.

The structure of the interview process can vary. The interview itself, argues Anderson, is more effective and reliable when all candidates are asked identical, predetermined, well thought-out questions. One school district interviewer sums up the questioning process by saying, "Tell us what you would do, show us what you would do, and let us ask others what you have done in similar situations" (Jones).

Some districts ask applicants to demonstrate their skills in a performance simulation, such as watching a 20-minute classroom lesson designed specifically for the interview by a staff-development teacher. The applicant then prepares an observation report and holds a conference with the teacher who conducted the lesson (Anderson).

As for the actual process of the interview, only a few members of the interviewing team should conduct the initial interviews, suggests Raisch (1993). Then, once the candidates have been narrowed down, the entire team can be divided into panels, and the candidates can move from one group to the next. The superintendent then asks for the names of two or three people who seemed the most qualified; he or she also asks the group to talk generally about the candidates.

Another step may be to visit the finalists at their "home turf." Also, superintendents must check references. Barone (1994) warns administrators to look out for misleading references that should send up a red flag, including descriptions such as "a real workaholic." What that person may accomplish in 80 hours, another may take 40. "Always accessible" may mean that the person will drop everything for any interruption, indicating a lack of time-management skills.

How Can Districts Make the Principalship More Attractive?

Can school districts change the structure of the principalship to make the position more attractive to some qualified candidates? Some observers believe that in order to provide more incentives for talented administrators, the position of principal needs to be restructured.

McAdams (1998) recommends that districts preserve the principal's role of instructional leadership by placing less emphasis on budgetary and legal responsibilities. To do this, districts would need to add support-services personnel.

In the Oxnard School District, Superintendent Richard Duarte has placed, with the school board's approval, a coadministrator at each elementary school with an enrollment of 900 or more. Likewise, in Thousand Oaks, California, the Conejo Unified School District has authorized vice-principalships for its three elementary schools that exceed a 700 enrollment (Adams). Giving principals more authority to make decisions would enable them to perform at their highest level of efficiency. Barker advocates higher salaries for principals and stronger mentoring systems for new principals. Job sharing is also an option for districts. Two people shouldering the responsibilities can ease the stress and isolation that many administrators may feel.

Resources

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SAMPLE ADVERTISEMENT FOR A HIGH SCHOOL PRINCIPAL

Adrian Public Schools
of Adrian, Michigan
Would Like To Invite You To Apply for the Position of:

HIGH SCHOOL PRINCIPAL

District Profiles

Adrian Public Schools is a district of nearly 4,100 students. The district consists of seven elementary schools, two middle schools, and one high school. A comprehensive range of educational programs offered by Adrian High School includes college preparatory, vocational-technical programs, bilingual, special, and adult education, and extensive curricular activities. Adrian's core curriculum is a well-rounded blend of required courses, specialized programs, and elective courses that provide each student with a solid and exemplary foundation for future success. Adrian High School has a current enrollment of 1,240 students together with 69 faculty members and 22 support staff members. Adrian High School is accredited by the North Central Association of Colleges and Universities/Outcomes Based Model. Adrian has proudly graduated 86 Michigan Merit Scholars. Approximately $600,000 in scholarship monies was awarded to the class of 2000. The average ACT test score is 21.2.

Community Profile

The city of Adrian is located at the geographical center of one of the richest agricultural counties in Michigan. Adrian is both the county seat and the largest population center of the county. Adrian is within a one-hour drive of Ann Arbor, Toledo, and Detroit suburbs. It lies between two easily accessible east-west interstate highways: I-94 to the north, the Ohio Turnpike to the south.

Required Education, Experience, and Certificates

- Three to five years' teaching experience.
- Three to five years' experience as secondary principal.
- Master's degree in education leadership/school administration or related area.
- Experience working with at-risk students.
- Experience working with a diverse population.
- Valid teaching certificate.
- Must be eligible for a secondary administrator's certificate.

Beginning Date: July 1, 2001.

Salary and Benefits: The salary range for this position is $83,080–88,490. Actual placement depends upon experience. A comprehensive fringe benefit package is also available.

Application Deadline: Posted until filled.

Application Procedure: Qualified and interested applicants should submit the following information as soon as possible:

1. Résumé.
2. Letter of interest outlining qualifications.
3. Credentials including official transcripts and three letters of recommendation.
4. District application form.

To request an application or for inquiries about the position, please contact:

Human Resources
Adrian Public Schools
227 North Winter St.
Adrian, MI 49221
Equal Opportunity Employer

Courtesy of Adrian Public Schools, Adrian, Michigan.

ORGANIC RECRUITMENT

THE ASPIRING PRINCIPALS PROGRAM—A SAMPLE PROGRAM*

Overview

For more than 20 years the Springfield Public School District in Springfield, Illinois, has implemented a variety of initiatives aimed at supporting the pre-service, induction, and continuing professional development of its principals. During that period of time, specific components of the model have been modified, added, or discarded, but the underlying premise of recognizing and supporting the importance of having highly qualified and high performing professionals in the role of principals has been sustained. The commitment to these efforts reflects the District's recognition of the relationship between good principaling and successful schools.

Each of the three major components of the model is described below. It is important to note that each component is an integrated part of a comprehensive approach.

Seminars for Aspiring Principals

Since the mid-1970s, District 186 has offered a series of seminars for teachers in the system who express an interest in becoming building-level administrators. The first seminars were eight weeks in length and included three major activities for participants. Each week a member of the central office staff provided an overview of district operations within the context of that person's job responsibilities. Topics included budget, curriculum, assessment, supervision of instruction, personnel evaluation, and day-to-day operations of schools. Each week participants in the seminars also took part in role-playing exercises that involved issues or challenges that principals face in the course of doing their jobs. At the end of the eight-week program, participants also completed a written examination.

During the first ten years of the operation of the seminars, the District listed seminar participation as a prerequisite for applying for entry-level administrative positions. The results of the written test were used as a part of the criteria for evaluating the candidacies of aspirants. Over time, the practice of using the seminars in an evaluative manner was phased out.

Today, the seminars for aspiring principals continue, but a much greater effort is made to integrate the topics in order to portray the District as a set of relationships, as opposed to a collection of job functions. New topics, such as shared decision-making and site-based leadership, have been added to the syllabus of seminar content. No parts of the seminars are evaluative in nature. Depending on the projection of job vacancies, seminars are conducted on an annual basis. During the most recent school year, 50 teachers participated.

Principal Assistants and Administrative Intern Programs

There are two customary avenues to follow in District 186 as one seeks to enter the ranks of building-level administrators. At the elementary level, the District allocates resources for seven principal assistants. The individuals who hold these positions are considered to be future principals in training. They are typically required to hold administrative certificates. They are paid on the salary matrix for principals and other building-level administrators.

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*Courtesy of Springfield Public School District 186, Springfield, Illinois.

Principal assistants are selected in a competitive application and interview process. As previously noted, participation in the seminars for aspiring principals is viewed as a prerequisite of candidacy.

For many years, principal assistants were assigned to the largest elementary schools in the District, primarily as a function of enrollment numbers. The outcome of the process was to have virtually every aspiring elementary principal serve as a principal assistant in a 5th–6th grade center. Unfortunately, the value and power of the experience may have been diminished when aspirants were mentored and coached in 5th–6th grade centers and then became principals of K–4 buildings.

The grade level restructuring of the District, along with an evaluation of the needs and goals of the Principal Assistant Program, have led to important modifications. Today, all elementary schools in the system are K–5 centers, thus making it possible to provide all principal assistants with experiences related to a principalship that will be similar to their induction experience. Additionally, principal assistant positions are allocated to schools on the basis of matching principals who will be effective mentors with aspirants. A conscientious effort is being made to structure the induction experience so that the future needs of the District are aligned with the skill sets that are being delivered within the context of the principal assistants program.

At the secondary level, the entry-level experience for aspirants is called an intern program. Each middle and high school has the option of allocating a staff position to the role of intern. Interns typically are required to have completed the certification process for administrators. Currently, four of five middle schools and three high schools have interns in place. Principals of these schools serve as mentors for their interns. The interns are given a variety of assignments intended to prepare them for the principalship. Interns are paid on the teacher salary schedule, with a contract extension for 20 additional days per year.

One additional component of the principals assistant and intern program is monthly meetings of all of these individuals with one or more coaches/mentors from the district leadership team. These meetings are held in informal settings and are designed to allow aspirants to share experiences, ask questions, and learn more about a systems view of the District.

Professional Growth for Principals

The changing role of the principal has become a noteworthy issue in District 186 in recent years. The expectations within the system are that principals are to be site leaders rather than middle managers, as was the case in a traditional top-down model utilized in most large school systems. This change has created intensive demand in the system for a professional development program for principals.

During the 2000–2001 school year, the District pilot tested a leadership symposium with 20 volunteer principals to examine some alternatives to its past practices related to supporting principals with quality inservice experiences. The success of that pilot program has led to a commitment to offer the experience in the future to all district administrators at all levels of operation.

The recognition of the need for the district to support the work of principals in a very different manner also has resulted in the creation of a plan to be implemented at the start of the 2001–2002 school year. A committee of principals is working with the superintendent and assistant superintendent to complete the design and initial implementation of that model. For a description of the draft model, see "Principals' Assistants Training Focus Areas."

Summary

District 186 recognizes the imperative importance of building a solid foundation for aspiring principals and supporting the work of principals at all times. The evolution of a process for addressing this need reflects a planning model that requires visioning, goal-setting, evaluating, and course redirecting. We hope this information is useful to those who perceive similar needs.

PRINCIPALS' ASSISTANTS TRAINING FOCUS AREAS

- Ethics
- Vision
- Management
- Personnel
- Governance
- Climate/Culture
- Finance/Fundraising
- Building and Grounds
- Legal Issues
- Special Education
- Scheduling and Calendar Development
- Public Relations/Marketing/Community
- Discipline
- Security
- Grant Writing
- School Improvement
- Information Management

Courtesy of Springfield Public School District 186, Springfield, Illinois.

"GROW YOUR OWN" ADMINISTRATORS: A SAMPLE PROGRAM*

At a time when there is growing recognition that the principal is a critical element in enhancing student learning and ensuring school success, school districts are seeing a decline in the number of highly qualified applicants for the job. The problem is likely to worsen in the next five years as districts face the need to replace principals who retire. Adding to the problem is the growing number of superintendents and district office personnel who are approaching retirement. Their ranks will likely be filled by quality principals, making the projected shortages even more critical.

A study conducted by the Educational Research Service noted, "America's public schools both need and deserve high-quality educational and administrative leadership. If there are present or future problems with ensuring that well-qualified candidates for the positions of principal and assistant principal are available, the time to address the issue is now."

John Goodlad, in his book, *A Place Called School*, calls on districts to make a continuous effort to identify employees with leadership potential and asserts that districts must "be willing to make an investment designed to pay off in the future." Others have echoed the theme, urging districts to institute aspiring administrator programs, which provide authentic leadership experiences for teachers along with

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*Source: John A. Oldani, Ed.D., *Show Me Education*, Spring 2000 edition, copyright © 2000, Missouri School Boards' Association. Reprinted with permission.

developing mentor and internship programs. Such programs are becoming increasingly important in the career development of public school principals.

Districts can no longer afford to sit back and wait for prospective administrators to self-select. With the increased concern for shortages of strong candidates, districts must take a proactive approach by identifying potential leaders and encouraging them to enlist in quality leadership development programs to complement certification programs offered by colleges and universities.

Rockwood's Administrative Leadership Development Program

The Rockwood School District is addressing this need through its Administrative Leadership Development program (ALD). The program takes a "grow your own" approach to identification and training of potential administrators. Some of the participants decide on their own to apply, while others are encouraged by teachers or administrators. Entrance is competitive and limited to 10–13 participants in any given year. Final selection is made by the superintendent and an administrative team.

Training

ALD participants are provided a variety of learning and training opportunities, such as the following:

- Workshops are conducted by district personnel and outside consultants. The district makes a commitment of personnel time and funds.
- Some activities take place during the school day, with release time provided, while others occur after normal school hours.
- The district also provides opportunities for participants to attend national or state conferences that take place in the region, such as the National Effective Schools Conference when held in St. Louis.
- Opportunities are provided to shadow building and district administrators, participate on district committees and substitute for administrators who attend conferences.
- Study groups are also formed to allow discussion of important research, books, and other issues in education and administration.

Mentoring

Mentoring is an essential component of the program. Each ALD participant is provided a mentor upon entrance to the program. The professional relationship between mentor and participant is invaluable in providing opportunities for one-to-one discussion regarding administrative issues. Mentors are trained by the district and matched with participants by the superintendent and administrative team. The district also provides mentors for all new administrators to the district.

Graduating

In May, all participants are invited to a graduation ceremony to celebrate their successful completion of the program. The program is attended by the superintendent, district administrators, mentors, principals, and members of the board of education. The graduation celebration recognizes the contributions of all involved in the program.

An exit interview is also conducted with each graduate. The purpose of the interview is to assess program strengths, what participants learned from the program, what should be added or deleted the following year to improve the program, and (after completing the program) whether the ALD participant plans to pursue an administrative career. The exit interview provides important feedback for program improvement and meeting participant and district goals.

To date, most participants have indicated an intent to pursue administrative careers via the principalship, while some have indicated an interest in curriculum and personnel related careers, and others have indicated that they are undecided.

Readying Strong Candidates

In its two and a half years of existence, the Rockwood Administrative Leadership Development program is accomplishing its mission of providing a quality program readying strong candidates for school administration. To date, the program has had 34 participants (including 13 for the 99–00 school year). Thirteen participants have gone on to administrative positions including assistant principals, program coordinators, and full-time administrative interns. Eleven of the 13 have received administrative positions in Rockwood and two have received administrative positions outside the district.

What about Smaller Districts?

Rockwood is a large district with over 21,000 students. The ALD program has proven successful for Rockwood in providing quality candidates for administrative positions. But the shortage of quality candidates for administrative positions affects all districts. Boards of education and administrators in smaller districts can address the issue by providing administrative leadership development programs through collaboration with neighboring districts or by region. Combining resources and efforts can help districts deal with the issue where a single district program may not be feasible.

The problem of administrative shortages will not go away. Addressing the problem requires the best efforts of school districts and their boards of education and administrative teams.

Reference

Goodlad, J. 1984. *A Place Called School*, New York: McGraw-Hill Professional Publishing, 1984.

PRINCIPAL INTERNSHIPS: FIVE TIPS FOR A SUCCESSFUL AND REWARDING EXPERIENCE

In June 1997 I began a journey that would become the most exciting and rewarding experience of my life. The journey was referred to as a principal internship, and it was the final requirement for the completion of a master's degree in school administration in the state of North Carolina. Although classroom learning through books and discussion was essential to the preparation for my internship, the hands-on experience over a period of one year would prove to be invaluable.

Throughout my internship year, I was challenged to put into practice all that I had learned in my master's program. It was an opportunity that allowed me to combine my research and reading, as well as the knowledge of the professors at the University of North Carolina at Charlotte, with everyday life in a public school. The experience left me confident and prepared to enter my first year as an assistant principal or a principal. Overall, the yearlong combination of internship and coursework created an educational environment that made my training in school administration among the best in the nation.

Although some form of student teaching has long been a requirement for obtaining teaching certification, the idea of principal internships for those who are completing a degree in school administration is still in its infancy. The state of North Carolina is among those that have initiated vigorous programs in school administration that require yearlong internships. However, principal internships are relatively new, and definitions of the role of a principal intern and how he or she fits into the school community are still evolving. Many principals who have interns in their schools are unsure of what to do with them. Although interns should be considered an integral part of the school, they are still completing their coursework and are technically not certified school administrators. What should be done with interns, and how should they be incorporated into the school? What should their responsibilities be? These questions and more can be addressed by reflecting on my experiences during the 1997–98 school year.

AN INTRODUCTION TO KANNAPOLIS MIDDLE SCHOOL

I was assigned to complete my internship at Kannapolis Middle School. The school is located in Kannapolis, North Carolina, a small town known for being the home of Cannon Mills. Currently, enrollment is approximately 950 students in grades 6 through 8, with a large percentage of the population considered to be at risk. The school operates under the middle school concept and uses a teacher advisory program in which students, in groups of about 100, are assigned to four-person teams (with some variations in the sixth grade). During the 1996–97 school year, Kannapolis Middle School achieved exemplary status under the new North Carolina ABCs initiative, the accountability system consisting of end-of-grade tests in reading, writing, and mathematics.

It is important, of course, to understand the culture of the school. The entire staff work in teams, including the administrators, who are most often referred to as the leadership team. Decisions are made within teams, and site-based management is seen as a major contributor to the school's success. Finally, high expectations exist for all students and staff members. The school's philosophy includes the belief that "all students can succeed," and every day in the classroom teachers live this belief.

FIVE TIPS FOR SUCCESSFUL INTERNSHIPS

1. *Integrate the intern into the school.* From the beginning, the principal and intern should develop a relationship in which the intern feels that he or she is a vital part of the school. Because it takes time and work to build this kind of trust, an internship should last for a complete school year. The process of bringing the intern on board should begin one to two months before teachers report and end on the last day required of teachers.

There are several reasons to bring the intern into the school before the teachers arrive. If the intern is going to be considered a part of the leadership team, it is important that he or she meet the other team members in advance and get to know them on both a professional and a personal level. An introductory period allows time for members of the leadership team to share their philosophy and expectations and to become acquainted with the intern's strengths and interests. The intern should already begin to feel a part of the school, as well as understand his or her place within it, before the staff are on campus.

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Principal Internships continued

I actually began working at Kannapolis Middle School in June 1997. We had been told by our university supervisors that we were expected to report one month before the teachers; however, the leadership team invited me to come as often as I could during the summer to see what was going on when students and teachers were not in the building. This period of time proved to be invaluable to me. Before the teachers came back to work, I had come to know and respect the leadership team. The principal, two assistant principals, and the administrative assistant became trusted mentors, and I was able to learn much about scheduling students and hiring teachers. Most important, it was during this period that I began to find my place at Kannapolis Middle School as the intern, and I had discussions with the leadership team about my responsibilities and what was expected of me. In addition, we shared philosophies and beliefs about children and education. By the time the teachers returned, I had a clear understanding of the culture and climate of the school, as well as of how I would fit into the existing picture.

Integrating the intern into the school community, however, does not stop with the leadership team. Members of the staff must also perceive the intern as part of the leadership team. They must understand how the intern fits into the school and recognize the authority the intern has as a part of the leadership team. On the first day teachers returned, we had a staff meeting at which we reviewed our school's vision and mission. In addition, each member of the leadership team was introduced, and his or her primary responsibilities were outlined. The principal made it clear that I was an administrator and that I would gradually be taking on various responsibilities. Then, throughout the year, he continued to communicate to teachers about when they should rely on me, as his shadow, and when they should rely on him. From the beginning, the staff at Kannapolis Middle School viewed me as another administrator—a part of the leadership team. Because the staff was aware of my position in the school, there were no unclear boundaries. This approach made my internship very successful, as teachers gradually began to trust me and to seek my help and advice.

2. *Develop a vision for the internship experience.* In order for the intern to be confident that he or she will not just turn into an extra pair of hands but will have the opportunity to acquire new knowledge and skills, the principal and the intern must share a vision for the internship experience. Together, the principal and the intern should compose a list of skills that they feel the intern should possess once the internship is completed. The intern's strengths and weaknesses should be discussed, and particular areas for growth should be identified. In addition, the principal must be sure to permit the intern to experience everything that happens in the school and at the central office. Interns need to have a clear picture of all the duties and responsibilities that are expected of a principal, as well as the knowledge and skills that enable them to be effective school administrators.

At the beginning of my internship, my internship seminar professor provided me with a form titled "Verification of Internship Competencies." The form listed the skills needed by principals entering the field, grouped under the following categories: Technology: Administrative Systems; Budgeting/Finance; Transportation; Food Service; Discipline; Scheduling: Instruction/Duty/Activity; Exceptional Children; Co-curricular Activities; Community Relations; Observation and Evaluation of Teaching; Faculty Supervision; and Conducting Meetings. Extra spaces were included at the bottom of the list for interns to add areas in which they needed more experience. Throughout the internship, my principal and I were to sign the form whenever I reached entry-level competency in a specific area. This form has been very important to my success. It provided a focus for my internship, and it was an essential guide for developing all the skills necessary to be an effective principal.

The internship was excellent on-the-job training. From June 1997 to June 1998, I encountered what seemed to be every possible experience. During the summer, I watched construction on the new sixth-grade wing and cafeteria, the scheduling of students into heterogeneous teams, and the hiring of teachers. I observed as the middle school integrated a whole new grade level for the first time and struggled with the addition of approximately 350 new students. I participated in making schedules for the cafeteria and assembly programs. I organized field trips and dealt with transportation. In the process

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Principal Internships continued

of performing daily duties, I came into contact with very supportive parents as well as angry parents, and I dealt with persons within the community who play a vital role in the educational process, including staff from the Department of Social Services, area police officers, juvenile probation officers, and mental health professionals. In addition, I took part in the hiring, evaluation, and dismissing of teachers.

Not only was I able to experience administration at the school level, but I also became a part of the administrative leadership team for Kannapolis City Schools. This team includes all the district's principals, assistant principals, and central office staff members. I attended principal meetings as well as curriculum coordinator and staff development meetings. I could recite every single opportunity afforded to me; however, the list is too extensive. To put it simply, I was very well prepared, and my mentors made sure that I experienced as much as possible during this year of learning.

3. *Gradually increase the responsibilities of the intern.* Each member of the team possesses particular strengths from which the intern can learn. At the beginning, the intern should act primarily as a shadow to the principal and the assistant principals. As the principal begins to feel comfortable, he or she should start to delegate responsibilities to the intern. It is very important for the intern to feel that he or she is a part of the leadership team; however, at the same time, too much should not be thrust upon an intern too early.

During my internship, the principal slowly gave me more and more responsibility while watching me and standing by to "pick up the pieces" if I messed up. His mentoring skills, I believe, made me successful. He encouraged me to use my strengths from the very beginning. One of the first tasks he gave me was to conduct a staff development session for teachers of "Encore" classes (art, business, Bible as literature, health/P.E., shop, life skills, and technology) on how to incorporate reading strategies into their classes. This gave me the opportunity to use my skills from the classroom while building a relationship with some of the teachers. As for other duties and responsibilities, each member of the leadership team stuck close by me at the beginning, providing guidance and advice.

My training reflected the strong emphasis that the leadership team at Kannapolis Middle School places on curriculum and on supervision of teachers. Evaluations are considered important to the continuous improvement that is expected from all staff members. At the beginning of the year, the principal created a list for each of the administrators on the leadership team. Because I was the principal's shadow, his list was also my list. I went with him to evaluate teachers and scripted notes with him. After an observation, we would sit down together to discuss what we had seen. I also accompanied the two assistant principals on their observations. This gave me a good perspective on teacher evaluation, and I picked up tips for improving the process of data collection. Eventually, I wrote up my own evaluation, and then the principal read my final product and gave me feedback for improvement. Ultimately, I was observing on my own and writing the final product. However, the leadership team continued to give me good critical feedback for improvement.

4. *Provide time for continuous evaluation.* One of the most critical components of the internship program is the communication between the intern, the principal, and the other members of the leadership team. Time needs to be scheduled daily for discussing and evaluating what has occurred during the school day. The intern should feel comfortable asking any questions and receiving criticism.

Communication can easily be inhibited by any number of factors, and so it is always an area for improvement in any organization. However, one of the strongest assets of the members of the leadership team at Kannapolis Middle School was their incredible willingness to talk to me and help me work through my beliefs and improve my weaknesses. At least once a day, and usually much more often, I had the opportunity to converse with one or more of the administrators. In addition, I knew their doors were open any time I needed help or assistance. The leadership team made me feel that no question was too stupid to ask and no situation too insignificant to discuss. This support gave me the room to repeatedly question my beliefs and

continues

Principal Internships continued

ideas concerning students, learning, and interacting with the staff.

5. *Rely on the university supervisor when problems arise.* A supervisor should be in place at the university who organizes the internships and provides support to both interns and their mentors. This component is important to the success of the internship. Clear communication should exist between this supervisor and the principal mentor so that each knows the other's expectations. Although I believe that the principal and the intern should create the vision for the internship, the supervisor should approve this vision and monitor the intern's progress. Because all school cultures are different, all internships—like all student teaching experiences—will be different. However, the one universal expectation is that when the intern leaves the internship, he or she will be prepared with entry-level competencies to carry out the role of an assistant principal or a principal.

The supervisor should also be looked upon by the principal and intern as a third party who can address any problem that may arise during the internship. Based on the experiences of some of my colleagues, I realize that all internships will not be as successful as mine. When there are problems, they often stem from the culture and climate of the school or from a personality conflict between the principal and the intern. If the latter circumstance arises during an internship, a third party needs to assess the situation and provide some advice on what the intern should do.

One strategy that would help alleviate such conflicts of culture or personality is for the supervisor to develop a strong relationship with area superintendents and principals. The hope is that, during the process of placing interns, university supervisors and school officials will work closely together to try to create appropriate matches. Many factors need to be taken into account, including the success of the present administration of the school and the strength of the curriculum within the school.

CONCLUDING COMMENTS

My internship was wonderful, and I believe that it helped me develop invaluable skills that will one day make me an extremely successful principal. I cannot imagine what it would have been like venturing into the position of assistant principal or principal without this experience. However, I realize that there are many individuals across the nation participating in school administration programs that do not require internships. To me, this is the greatest injustice that we do to aspiring leaders of our schools. Learning is best when it is hands-on, whether you are a child or an adult. One can read and study all the books and journals available; however, the ultimate test comes when the individual is actually in the trenches doing what must be done. Principal internships can equip interns with the skills and experience necessary to have a successful first year in any administrative position.

Source: Teresa I. Gray, *Phi Delta Kappan*, volume 82, number 9, copyright © 2001, Phi Delta Kappa International, Bloomington, Indiana.

AUTHENTIC INTERN ACTIVITIES: SKILL DEVELOPMENT FOR PRINCIPAL EFFECTIVENESS IN A STANDARDS–BASED EDUCATION SYSTEM

Set leadership standards for yourself to attain during your internship. Seek to become a performance-based leader. Become familiar with the Interstate School Leaders Licensure Consortium Standards for School Leaders (ISLLC standards), the Association of Washington School Principals' Accountability Project, and the Fouts Study on Principal Leadership, "The Reality of Reform" (SPU, May 2000). Periodically self-assess your progress. Document the activities you engage in to develop leadership skills. Following are a list of topics.

CREATING A SAFE AND ORDERLY SCHOOL ENVIRONMENT

- Head up or work with the school safety committee to draft or review a safe school framework including prevention, intervention, crisis management, and alternative options for students. During the 2000–2001 school year, work with the safety committee on some (or all) of the following areas: collaboration with staff, students, and community in setting targets or goals; allocating and focusing resources to the goal(s); determining responsibility and timelines for implementation; and setting up feedback/evaluation processes to guide the continuing work of the committee. Document and track the progress of the committee and your own work with it as well.
- Work closely with your mentor principal to build your own legal awareness. As student-centered problems arise during the year, help to analyze and problem solve the issues based on knowledge and application of due process requirements, state law, and district policy. Adult code of conduct is another significant area. Take every available opportunity to discuss and analyze (in light of state law and school board policy) adult behavior/performance issues with your mentor that arise during the school year. Become familiar with those state laws, board policies, and the code of Professional Conduct for Education Practitioners in Washington State (Chapter 180-87 WAC) which routinely affect principals' decisions in both student and adult cases. Examples might include the furnishing of controlled substances to students, the misrepresentation of professional qualifications, or the falsification of documentation of inservice or continuing education credit hours.

BUILDING A SCHOOL CULTURE CONDUCIVE TO CONTINUOUS GROWTH FOR STUDENTS AND STAFF

- Work with the school's site council to focus its attention on student achievement. Build and implement a schoolwide, continuing program to recognize both students and staff for improving student achievement. Document your work with the site council as well as the implementation of the recognition program.
- Begin to determine how principals develop and define a vision for their schools. Take quality time to discuss this process with your mentor principal. Some factors to consider: articulating and modeling the shared commitment; getting staff, student, and community "buy-in"; translating the vision to an action plan; and creating an evaluation/review process to determine the effectiveness of the vision and action plan. Document your role in articulating, modeling, and implementing the building vision. Prepare yourself to discuss the visioning process in administrative interviews.
- Organize and help to present an orientation and induction process for new staff that emphasizes their "buying" into the vision, culture, and direction of the school—as well as teaching the management and organizational procedures of the building. Document your planning and delivery of the process. Evaluate the effectiveness of the orientation procedure as you work with new staff during the school year.
- Identify both the formal and the informal leadership in your school. Analyze their current interaction and influence. Determine how you might use the structure that exists to move toward a shared vision for greater student achievement. Document your analysis and steps you take toward the goal.

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Authentic Intern Activities continued

COMMUICATE WITH COLLEAGUES, FAMILIES, AND COMMUNITY MEMBERS TO PROMOTE STUDENT LEARNING

- Help to organize and present a parent/community night for the purpose of building an "achievement culture" among your parents and other adult members of the community. Briefly discuss education reform in Washington state. Identify the variety of indicators of student academic growth. Explain standards and assessment. Create a visual presentation for the audience as well as participatory activities that will help adults to understand and support the school's emphasis on academic achievement.
- Find/create appropriate forums to market your school's student academic achievement. Use a variety of data, put the data in a meaningful context for parents and community members, and use the resulting materials to communicate and celebrate student learning.

DEVELOPING DATA-DRIVEN PLANS TO IMPROVE STUDENT ACHIEVEMENT

- Identify and document the demographics of your school culture. What are the unique needs, problems, and concerns of your student population? Make a presentation of your findings to staff or to a meeting of your site council. Determine how these demographic findings should impact the school's plan of improvement. Document your work with data, your collaboration with others, and the resulting influence of this work on your school's improvement plan.
- Engage students and families in analysis of individual achievement data for academic goal setting and planning. Organize this activity as a schoolwide effort or target a particular segment of the school population for the activity. The effort might include initial analysis of data, goal setting, and development of individual action plans. Evaluation of the effectiveness of the process would include an assessment of individual progress using new achievement data. Document your planning and collaboration as well as the results of the program.

MONITORING AND EVALUATING EFFECTIVE INSTRUCTION AND ASSESSMENT PRACTICES

- Spend time in classrooms becoming aware of the connection between instruction and student learning achievement. How does the instruction you observe translate into individual student achievement? Document your observations and conclusions regarding the teaching-learning process. How does what you've observed and documented relate to an effective teacher evaluation process which focuses on student growth and learning?

PERSONNEL

- Participate in the hiring process for both certificated and classified staff. Initiate discussions with your mentor principal on the topic of quality hiring philosophy and practices. Keep a journal that documents your observations about the hiring processes in which you participate. Begin to draw your own conclusions about the characteristics of candidates who can make a positive impact on student achievement. What are examples of the evidence in both paperwork and interviews that a candidate has the qualities you seek?
- Participate in and/or observe contract implementation including collaborative meetings as well as negotiations for certificated and classified staff. What is the extent of principal input to the negotiation process? Evaluate the impact of the bargaining agreement on principal leadership.

ALIGNING CURRICULUM, INSTRUCTION, AND ASSESSMENT WITH STATE AND LOCAL LEARNING GOALS

- Head up or work with a staff committee charged with aligning curriculum, instruction, and assessment with learning goals. Help to secure planning time for staff collaboration, lead discussions which focus the teaching staff on instructional and assessment practices that are known to promote student achievement, and analyze

continues

Authentic Intern Activities continued

performance data in making decisions about curriculum and instructional best practices. Document your work, critiquing your own growing skill in leading and collaborating with school staff.

MANAGING HUMAN AND FISCAL RESOURCES TO ACCOMPLISH STUDENT ACHIEVEMENT GOALS

- Work with your mentor principal to analyze the building budget. Does allocation of resources match the needs, vision, and direction of the building, especially in regard to promoting student growth? What changes could be made to direct building resources more effectively to promote student achievement? Take notes, begin to develop a philosophy of achievement-driven school fiscal management, and prepare yourself to discuss this topic with an interview team.
- Collaborate with school staff/administration responsible for developing the master schedule for the building. Begin to determine how appropriate manipulation of scheduling factors can maximize opportunities for staff growth and for student learning. Identify and document your observations about creating schedules for schools which focus on improving student learning.

Reference

Seattle Pacific University, *The Reality of Reform*, 2000.

Courtesy of the Association of Washington School Principals, Olympia, Washington.

NOTICE OF VACANCY FOR ADMINISTRATIVE INTERN

TITLE: Administrative Intern

DAYS PER YEAR: _______ Days

DESIRABLE AREAS OF COMPETENCE

Applicants for this position must possess a Master's degree in Educational Administration. Candidates must have the required Illinois Administrative Credential. Evidence of successful administrative experience or completion of the District Inservice Program in Administrative Leadership is preferred.

SPECIFIC RESPONSIBILITIES

1. Attend and contribute to staff meetings.
2. Provide educational leadership to staff and students.
3. Assist in establishing and maintaining good public relations.
4. Assist in supervising personnel.
5. Assist in coordinating and supervising school activities and the work of the professional and classified staff.
6. Assist with curriculum.
7. Assist in implementing discipline procedures.
8. Assist in student attendance matters.
9. Other duties as assigned.

FILING DATE DEADLINE:

EFFECTIVE DATE: Immediately

SALARY: In accordance with the current SEA negotiated agreement.

BENEFITS: Personal and Sick Leave, Medical Insurance, Life Insurance, Illinois Teachers' Retirement System

Please refer all communications to:

AN AFFIRMATIVE ACTION EQUAL
OPPORTUNITY EMPLOYER

Request for reasonable accommodation under Title 11 of the Americans with Disabilities Act of 1990 must be made to: ___________________, ADA Coordinator, at least 20 days prior to appointment date. We do not discriminate against any employee or applicant for employment because of race, color, religion, sex, national origin, age, or disability.

Courtesy of Springfield Public School District 186, Springfield, Illinois.

Principal Assistant/Intern Training Checklist

ADMINISTRATIVE	DATE COMPLETED
1. Know district and state laws, rules and regulations, and policies that should be followed.	________
2. Know office and accounting procedures.	________
3. Know methods of conducting faculty meetings.	________
4. Know procedures in opening and closing schools, including creating class lists.	________
5. Become involved in scheduling special classes, curriculum and inservice specialists, and programs.	________
6. Become involved with school publications, faculty bulletins, newsletters, and school handbooks.	________
7. Learn the process of ordering textbooks, supplies, and other materials from warehouse.	________
8. Learn the process of setting up, issuing, and recording medication in the school.	________
9. Have experience in writing yearly building goals and objectives.	________
10. Learn the process of observing and evaluating substitute teachers in the building.	________
11. Prepare for registration, especially promotion and organization.	________
12. Know and use technology.	________
13. Learn the process of observing teachers.	________
14. Be involved with any extracurricular activities.	________
15. Be involved with the school's business partnership(s).	________
16. Know methods of the school district's busing program and routes.	________
17. Have experience in the supervision of students on the playground and the cafeteria and at the buses.	________
18. Learn the process of preparing for and filling out the annual state School Improvement Plan.	________
19. Learn the major computer applications that will be used in conducting business in the school's office.	________
20. Be involved in the school's PTO/PTC and the district's parent group.	________

continues

Principal Assistant/Intern Training Checklist continued

21. Be involved in the school's fund-raiser. ________
22. Participate in school leadership and design teams. ________
23. Participate in interviewing and hiring of new staff members. ________
24. Have experience in the use of the district's Information System. ________

CURRICULUM

1. Know how to organize teacher inservice workshops. ________
2. Know methods of developing curriculum. ________
3. Serve as a member of an inservice committee. ________
4. Know the current enrichment program being conducted in the building. ________
5. Know assessment and the linkage among assessment, curriculum, and instruction. ________
6. Know current instructional best practices. ________
7. Know state and district standards and benchmarks, and have experience in supporting staff with the integration of such into the curriculum. ________

DISCIPLINE

1. Know about and be involved with enforcing rules and policies of the school. ________
2. Contribute ideas, alternatives, and methods for the maintenance of discipline. ________
3. Have experience with communicating with parents about discipline issues. ________

EVALUATION

1. Know the certified and noncertified administrative evaluation process. ________

BUDGET

1. Know the preparation of a building school budget. ________
2. Know the budgeting process. ________
3. Become familiar with invoice reporting. ________
4. Know requisitioning procedures. ________
5. Have experience in maintaining fundraising accounts. ________
6. Have experience in the use of the District's financial system. ________

Courtesy of Springfield Public School District 186, Springfield, Illinois.

JOB DESCRIPTIONS

JOB DESCRIPTION REVIEW CHECKLIST

Here's a checklist you can complete when you review or revise your principals' job descriptions. Have you

- discussed with principals what their responsibilities are?
- asked principals to review them?
- included state or local performance expectations?
- considered how management changes affect principals (e.g., site-based management, OBE)?
- checked to make sure you listed all essential functions?
- compared your job description and your evaluation forms to ensure they're complementary?
- discussed with principals how they'll be evaluated?
- reviewed changes in job descriptions or evaluations with your school board (if required by district policy)?

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K–12 PRINCIPAL

TITLE: Principal

REPORTS TO: Superintendent of Schools

Supervises the overall operation of the school. However, the Principal understands that his/her primary responsibility evolves around the improvement of instruction.

Among the specific duties and responsibilities of the Principal shall be:

1. Instructional leadership
   - Under the supervision of the Superintendent, assume administrative responsibilities and instructional leadership.
   - Engage in professional development opportunities and encourage teachers to foster professional growth, both formally and informally.
   - Oversee the schedule for all instructional areas.
   - Be responsible for the planning, operation, and evaluation of the educational program.
   - Collect and review lesson plans on a weekly basis.
   - Ensure increased time on task, make frequent visits to classrooms.
   - Encourage positive participation in the curriculum planning for the district.
   - Participate in K–12 vertical articulation efforts, appropriate study and action with other building principals and with supervisory groups.
   - Be responsible for improving instruction and student learning.
   - Participate in appropriate professional activities designed to promote growth in administration and instruction.
   - Submit recommendations to the Superintendent concerning the appointment, retention, promotion, and assignment of all personnel assigned to the school.
   - Encourage teachers to demonstrate high expectations for students.
   - Make careful evaluation of students' progress.
   - Monitor and measure program effectiveness, instructional practices, and the implementation of curricula at appropriate levels.
   - Provide ongoing feedback and input to teachers regarding effective instructional strategies.
   - Ensure that grading criteria are posted in every classroom.

continues

K–12 Principal continued

- Be responsible for formative and summative evaluation of teachers and staff.

2. Positive education and learning climate
    - Encourage counselors to provide services for all students.
    - Establish and maintain positive and clear lines of communication with the Superintendent, staff, students, teachers, and parents.
    - Demonstrate positive communication patterns.
    - Foster and maintain good relations between the school and community with emphasis on the school-parent relationship.
    - Demonstrate reasonable responsiveness to the needs of customers: students, parents, and community.
    - Advise and cooperate with the appropriate school-related organizations.
    - Clearly convey school goals, accomplishments, practices, and policies with parents and teachers.
    - Convey expectations and enforce the District's Uniform Dress Code Policy.
3. Safe, clean, and orderly environment
    - Keep facilities clean and well maintained.
    - Administer the building in a manner consistent with the healthy welfare and safety of students.
    - Supervise and evaluate the work of all assigned personnel.
    - Oversee the school's discipline program.
    - Ensure a concrete prevention/intervention program is in place, such as peer mediation, Character First, Random Acts of Kindness, in-school suspension program, etc.
    - Maintain records of pupil accounting and other records related to the operation of the school.
    - Develop a School Safety Plan, which includes the security of computers.
    - Ensure phone calls are made to parents/guardians within the first two hours to follow up on student absences.
4. Fiscal responsibility
    - Initiate request and requisitions with regard to supplies, equipment, maintenance, and safety.
    - Allocate dollars according to curricula priorities.
    - Disperse funds within the allocated budget.
    - Maintain fiscal accountability and a school budget account system.
    - Arrange human and fiscal resources to achieve the greatest gain in improved student performance.
    - Document expenditures and meet program implementation requirements for allocated grants.
5. Professional standards
    - Model positive behavior and communication patterns.
    - Turn in requested reports and Board agenda items by the due date.
    - Keep the Superintendent informed, no unexpected events.
    - Attend scheduled "Leadership Team Meetings" and "Superintendent/Principal Rap Sessions."
    - Actively participate on District Committees.
    - Ensure Board policy, administrative procedures, and binding agreements between the District and Teacher Union are adhered to.
    - Share the Ten School Board/Superintendent Goals and Indicators with teachers and parents.
    - Exhibit punctuality, availability, and dependability.
    - Perform all other duties as directed by the Superintendent.

Courtesy of North Chicago Community Unit School District 187, North Chicago, Illinois.

ELEMENTARY SCHOOL DISTRICT PRINCIPAL

TITLE: Principal

QUALIFICATIONS

- Illinois Type 75 certificate or equivalent
- Masters degree or above
- Prior teaching or administrative experience

GRADE CLASSIFICATION

REPORTS TO: Superintendent

EVALUATION

- Performance will be evaluated by the Superintendent annually.

TERMS OF EMPLOYMENT

- Twelve (12) months
- 8 hours daily
- Follow administrator's holiday schedule (attendance is required on snow days)

SALARY

To be determined by the Board of Education, commensurate with experience and duties.

PERFORMANCE RESPONSIBILITIES

This job description is not intended, nor should it be construed, to be a list of all responsibilities, skills, efforts, or working conditions associated with the job. The job description is purposely designed to be an accurate reflection of those principle job elements essential for making fair pay decisions about jobs.

School Climate

- Communicates and promotes high expectation levels for staff and students.
- Establishes and maintains an environment that is conducive to positive school morale and directed toward achievement of the school's mission.
- Communicates effectively with students, staff, parents, and community.
- Resolves conflicts in a timely fashion.
- Has a clear sense of the district's mission and actively involves the staff in planning and decision making in order to accomplish the mission.
- Initiates and supports programs and actions that facilitate a positive, caring climate for learning and an orderly, purposeful environment.

School Improvement

- Directs planning activities and implements programs collaboratively to ensure attainment of school's goals.
- Ensures continuous renewal of curriculum policies and methods.
- Maintains and utilizes appropriate information and records necessary for overall school improvement efforts.

Instructional Management

- Monitors instructional and program activities.
- Works collaboratively to plan, implement, and communicate the curriculum.
- Provides instructional resources and materials to support teaching staff in accomplishing school's instructional goals.
- Effectively administers and integrates special programs with the regular program.
- Monitors student progress, using appropriate data to make decisions concerning student learning.

Personnel Management

- Effectively interviews, selects, and orients new staff; makes sound recommendations relative to personnel placement, transfer, retention, and dismissal; and adheres to the District's Affirmative Action/Equal Employment Opportunities Policies.
- Encourages personal and professional growth in leadership among staff.
- Implements the District's supervision and evaluation program for all certified and noncertified staff.

continues

Elementary School District Principal continued

Administration and Fiscal/Facilities Management

- Complies with district policies, state, and federal laws.
- Effectively schedules activities.
- Monitors building budget based upon programs, personnel, and other fiscal needs.
- Supervises maintenance of school facilities and grounds.
- Maintains appropriate supervision of all students being transported to and from the building.

Professional Growth and Development

- Uses information provided through assessment instruments, the district appraisal process, and evaluative feedback from supervisor to improve performance.
- Strives to improve leadership skills through self-initiated professional development activities.
- Disseminates ideas and information to others.
- Supports and participates in the development and implementation of staff development activities.

School/Community Relations

- Demonstrates awareness of school/community needs and initiates activities to meet those identified needs.
- Solicits appropriate community and parent involvement.
- Emphasizes and nurtures two-way communication between school and community.

Courtesy of Bourbonnais Elementary School District No. 53, Bourbonnais, Illinois.

ASSISTANT COMMUNITY EDUCATION DIRECTOR/ALTERNATIVE EDUCATION PRINCIPAL

1. Recruitment of students
   - Assist in development of recruitment flyers
   - Review recruitment schedule to ensure complete coverage of district
   - Participate in canvassing district
   - Follow up unsure visits with a telephone call
   - Set up appointments for registration
   - Ensure all student registration forms are completed
   - Register new students for classes
   - Set up, coordinate, and supervise fair booth
2. Assist students in making curriculum decisions/class choices
   - Discuss the career/life goals of the student
   - Acquire placement information on each student
   - Inform the student of the school's academic requirements
   - Develop an estimated schedule of courses leading toward curriculum requirements
   - Complete a schedule of classes
3. Obtain and evaluate student's academic history
   - Make out transcript requests consistent with privacy laws
   - Send for verification of nonstructional credit, when applicable
   - Translate and evaluate transcript according to school district's requirements
   - Review accumulated history with the student
4. Perform academic placement assessment
   - Select testing instruments appropriate for the population served
   - Administer, score, and interpret RevRac results
   - Resolve discrepancies between test results, student goals, and previous credit received to help students with appropriate class selection by need and ability
   - Assess needs and refer to appropriate educational services

continues

Assistant Community Education Director/Alternative Education Principal continued

5. Provide motivational support for successful school completion
    - Provide for program orientation
    - Show options to obtain credits
    - Offer problemsolving support services (i.e., food, transportation, child care)
    - Provide ongoing evaluation of student progress (should be done at the beginning and end of the semester)
6. Provide for career assessment and guidance
    - Obtain informal assessment of student career goals
    - Place students in appropriate career development courses where available
    - Help students select courses that will reinforce potential career choices
    - When applicable, administer tests and discuss results with students
    - Inform students of employment opportunities/qualifications from local job placement programs
    - Monitor student job placement information
    - Schedule a college recruiter to discuss with all students the process to obtain further training or education
7. Assist students in post-graduate planning
    - Maintain career planning process for students
    - Communicate calendar of requirements for ACT, financial aid applications, college applications, scholarships, and career planning process
    - Guide or refer students for precollege paperwork
    - Maintain library of current information regarding ACT, financial aid, colleges, voc/tech schools, and college referral sources
    - Assist students in obtaining scholarships, grants, and loans
8. Facilitate advising functions and refer for human services as needed
    - Work with staff and students during crisis situations
    - Work with students to assess immediate needs in personal and/or family crisis situations
    - Develop contracts with students needing support in managing their behavior
    - Contact agencies when further counseling is needed and/or give students contact information
9. Perform liaison function with other agencies and schools regarding program
    - Contact agency personnel to maintain and improve cooperation programs through meetings, phone calls, and personal contacts
    - Monitor necessary paperwork to relate attendance and progress of agency clients
    - Facilitate transfer/referral to other related programs
10. Provide recordkeeping procedure
    - Check attendance books to ensure attendance is recorded timely and accurately
    - Figure attendance totals at the end of each semester
    - Monitor the recording of grades on transcripts and report cards
    - Monitor maintenance of student files
    - Re-evaluate transcripts
    - Monitor appropriate agency records
    - Monitor student drop/add and course change information
    - Maintain student planned program of study
    - Prepare files for state audit
11. Recommend changes regarding curriculum/program
    - Maintain open communications with teaching staff and with students
    - Recognize and provide input for unmet academic/curriculum needs
    - Maintain awareness of marketplace needs
12. Adhere to current laws, regulations, and policies relative to the population served
    - Maintain awareness of relevant laws and regulations
    - Read and understand applicable memoranda that have relevance to laws and regulations
    - Apply required information to assure program funding and maximum student opportunities
    - Work with students to keep them in contact with representatives about the necessity of having our program
13. Assist in the performance of students' follow-up services for ongoing program evaluation
    - Assist with development and maintenance of student mailing list

continues

Assistant Community Education Director/Alternative Education Principal continued

- Assist with development of follow-up survey/questionnaire relevant to program goals and state recommendations
- Assist with collection, organization of, and evaluation of data from questionnaires to summarize findings

14. Assist in the administration of student services
    - Complete all new student transcript audits for day, night, jail and lifelong learners
    - Monitor student enrollment as it relates to class scheduling and staffing needs
    - Develop class lists when appropriate
    - Inservice new staff in recordkeeping procedures, curriculum used, and programs available in center and other community education sites
    - Supervise completion of class grade, credit and informational reports
    - Assist in student retention
    - Assist in transfer of students
    - Assist in establishment of program schedule
15. Engage in personal and professional growth activities
    - School representative to regional SMACE meetings
    - School representative to annual MACAE Conference
    - Attend conferences, inservices, workshops, and legislative meetings
    - Remain current with professional publications
    - Maintain membership in professional organizations
16. Supervision of night school
    - Either arrange for or be a substitute teacher when teachers are absent
    - Tutor students with academic problems
    - Counsel students with academic or personal problems
    - Cover community education offices daily from 4:00 PM to 5:30 PM
    - Assist in handling course payments and issue receipts
    - Coordinate night school inventory
    - Coordinate all textbook needs
    - Sign up students for GED testing when they are ready
    - Evaluate night staff
    - Supervise night child care
    - Supervise all night classes
    - Prepare a budget for night school needs
17. Assist Community Education Director with other duties as requested
    - Assist with coordination and supervision of fourth Friday party, fair booth, prom, and graduation
    - Arrange for construction needs in new office
    - Arrange for electrical service needs in new office
    - Arrange for telephone and computer needs in new office
    - Build bookshelves and organize book room
    - Assist leisure coordinator with contracting with instructors
    - Substitute teach in life-long learners class
18. Alternative Education Principal
    - Write the grant for the alternative education program
    - Schedule at-risk committee meetings for discussion of possible new students
    - Schedule one-day confidence course for all students to begin the year
    - Schedule meetings for induction of new students with parents and teachers
    - Handle all discipline of students
    - Work with I.S.D., city, and county police on truancy problems
    - Arrange student schedules based upon their individual needs
    - Substitute teach daily during switch of half-time teachers
    - Hold department meetings with staff
    - Maintain student files on every student

Courtesy of Colon Community Schools, Colon, Michigan.

APPLICATION FORMS AND SELECTION PROCESS

INITIAL LETTER TO APPLICANT

Date

Dear Applicant for Manager of Staffing:

Data regarding your interest in the Manager of Staffing position has been received in my office. An initial screening and desk review will be done to determine which candidates will receive an interview.

Candidates chosen for an interview will be contacted this week. A date and time for the interview will be confirmed at that time.

Thank you for expressing interest in working for our district. If for some reason you are not selected for this particular position, please don't be discouraged from applying for another position in the future.

Sincerely,

____
Superintendent of Schools

Courtesy of North Chicago Community Unit School District 187, North Chicago, Illinois.

Application for the Principal Candidacy

INTRODUCTION

Pursuant to Chicago Public Schools Policy 00-1220-PO1, a Chicago Public Schools principal candidate must meet all of the eligibility requirements listed below. The Deputy Chief Education Office will certify which candidates meet the requirements and will prepare and maintain a pool of candidates eligible for the position of principal.

DATE ______________________________

NAME ______________________________ SOCIAL SECURITY NUMBER __________
LAST FIRST MI

HOME ADDRESS ______________________ CITY ____________ STATE _____ ZIP _____

HOME TELEPHONE # (______) __________________ HOME FAX # (______) __________________

CURRENT EMPLOYER ____________________ SCHOOL CURRENTLY ASSIGNED TO __________

WORK ADDRESS ______________________ CITY ____________ STATE _____ ZIP _____

WORK TELEPHONE # (______) __________________ WORK FAX # (______) __________________

ELIGIBILITY REQUIREMENTS

Academic

- A valid Administrative Certificate (Type 75) with General Administrative endorsement issued by the Illinois State Board of Education.
- Graduation from an accredited college or university with Master's Degree or above:
  Degree: ____________________ Date Received: ____________________
  Name of college or university: ____________________ Area: ________________

Copies of Administrative Certificates and Official copies of college transcripts must be submitted with this application.

Work Experience. Candidates must possess a cumulative minimum of six (6) years of classroom and administrative experience in public schools, having received an excellent or superior performance evaluation or the equivalent for the last two years preceding application for a principal position. Administrative experience shall include: administrative or supervisory experience(s) as an assistant principal, lead teacher, disciplinarian, counselor, attendance coordinator, programmer, Central Service Center or Region Administrator, college or university administrator, bilingual or other lead teacher, or bilingual coordinator. Please list classroom experience below beginning with the most recent experience.

Position	School	Dates	Performance Evaluation

continues

Application for the Principal Candidacy continued

Applicants must complete and submit the Affidavit of Classroom and Administrative Experience with this application (pages 3 and 4 of Application).

Additional Training. Candidates must submit official transcripts from the Illinois Administrators Academy to show evidence of the completion of eighty-four (84) clock hours of administrative course work beyond the Master's Degree, as follows: School Leadership (12 hours); Parent Involvement and Community Partnerships (12 hours); Student-Centered Learning Environments (12 hours); Professional Development and Human Resource Management (12 hours); Instructional Leadership: Improving Teaching and Learning (12 hours); School Management and Daily Operations (12 hours); Interpersonal Effectiveness (12 hours).

In lieu of administrative course work completed through the Illinois Administrators Academy, applicants may submit official transcripts from an accredited college or university offering the administrative course work. (See workshops listed above.) Please list completed administrative course work below:

College/University	Course Title	Dates Completed	Credit Hours

Candidates must participate in the Chicago Principal Assessment Center upon completion of the administrative course work requirement listed above and prior to beginning the ninety (90) day internship.

Internship: Candidates must complete an internship of ninety (90) school days at a Chicago Public School. The Department of Human Resources will notify the Principal Review Board when this requirement has been met. This requirement may be waived for candidates who have previous experience as a freed assistant principal or as a principal. **Applicants must complete and submit the Affidavit of Classroom and Administrative Experience with this application (pages 3 and 4 of Application). An Exit Interview by a team selected by the Chief Education Office is scheduled once the internship is completed.**

Residency. All employees, including principals, are required to comply with the Residency Policy of the Chicago Public Schools.

This is to certify that all the information provided in this application is complete and accurate.

____
Applicant's Signature

continues

Application for the Principal Candidacy continued

Send completed application and all supporting documentation to Chicago Public Schools:

For more information, please contact:

Please allow six weeks for review of credentials.

The Chicago Public Schools is an Equal Opportunity Employer

For Office Use Only.

Type 75 Certificate ______________ Date Received __________
College Transcript of Master's Degree Course Work ______________ Date Received ___________
Affidavit of Classroom and Administrative Experience ___________
Administrators Academy Transcripts ____________________
Professional Development Transcripts ____________________
Internship ____________________ ____________________
Date Completed Waived
Chicago Principal Assessment ____________________
Date Completed
Exit Interview ____________________
Date Completed

AFFIDAVIT OF CLASSROOM AND ADMINISTRATIVE EXPERIENCE

Print all information.

Date: ________________________

Name: ____
Last First M.I.

Social Security Number: ________-________-____________

Home Address: ______________________ City: ______________________

State ____________ ZIP Code ______________ Home Phone: (____) ______________

____
Applicant's Signature

Section I is to be completed by the current or immediate supervisor of the applicant.

continues

Application for the Principal Candidacy continued

I. Performance Evaluation: Please indicate the above-named person's Annual Performance Evaluation for the last two years preceding the date of this affidavit:

Dates of Evaluation Period	*Performance Evaluation*
____________	Superior ____ Excellent ____ Satisfactory ____ Unsatisfactory ____
____________	Superior ____ Excellent ____ Satisfactory ____ Unsatisfactory ____

This is to certify that all information listed in this section concerning the above-named person is accurate and complete to the best of my knowledge:

Please Print Name and Job Title of School Officer ____________________

Signature of School Officer ____________________

( ) ____________________

Telephone

Date ____________________

II. Employment. This is to certify that the above-named person was employed on a full-time basis as follows:

Name of school and school district: ____________________

Address: ____________________ City: ____________________

State: __________ ZIP Code: __________ Telephone Number: ( ) ____________________

Please indicate the dates the above-named person was/is employed in your school or school district in a full-time capacity in any of the following job categories or assignments:

JOB CATEGORY/ASSIGNMENT	DATES EMPLOYED	SCHOOL/LOCATION
Principal*		
Freed Assistant Principal*		
Teaching Assistant		
Lead Teacher		
Disciplinarian		
Counselor		
Attendance Coordinator		
Programmer		
Central Service Center/Region Administrator		
College or University Administrator		
Bilingual or other Head Teacher		
Bilingual Coordinator		

continues

Application for the Principal Candidacy continued

*Individuals who have held Principal or Freed Principal positions qualify for the waiver of internship. Teaching Assistant Principals who have been completely freed from all scheduled classroom teaching as a result of the school's organization should complete the section for Freed Assistant Principal since they also qualify for the waiver of internship.

Please Print Name and Job Title of School Officer	Signature of School Officer
( ) Telephone	Date

Please make sure all required signatures have been met.

Mail to:

Source: Copyright © 2001, Chicago Public Schools, Chicago, Illinois.

Sample Principal Interview Questions

The School is committed to equal employment opportunity for all qualified persons, without regard to race, color, religion, ancestry, national origin, sex, marital status, physical handicap, medical condition, or age, to the extent required by law. This applies to all employment practices, including hiring, promotions, training, disciplinary action, termination, and benefits.

Candidate Name: ______________________ Interview Date: ______________

GRANT WRITING

1. What opportunities have you had in grant writing? How would you go about the process of seeking grant sources and writing proposals for funding?
2. What other sources of funding and/or partnerships could you envision that would assist the school in carrying out its mission/vision statement?

BUDGET

1. What things do you take into consideration when developing budgets on a yearly basis and for individual academic areas?
2. What do you see as your role in monitoring and revising the budget?
3. What things would you take into consideration in reallocation of funds in terms of established budget lines?

MANAGEMENT

1. How would you handle competing demands and conflict within a small community environment?
2. How would you inspire staff and students to achieve to the best of their abilities?
3. Describe how you would envision the day-to-day operations of a charter school.
4. What do you perceive as your great challenge(s) as a principal at the school?

GOVERNANCE

1. How would you describe a positive working relationship between a principal and Board of Directors?
2. Describe your role in relation to balancing the demands of the governing board and the faculty needs.
3. In making critical decisions concerning policies, how would you go about receiving input and advice?
4. How do you handle criticism and how would you advise staff and governing board members to approach you with their concerns?
5. In what ways do you perceive charter schools to be different from traditional public schools?

continues

Sample Principal Interview Questions continued

ADMINISTRATION

1. Describe your most enjoyable administrative experience and the environment that made this experience memorable.
2. What do you consider as your greatest accomplishment(s) and/or achievement(s) as a principal and why?
3. What would you consider to be the most important qualities of a principal and provide an example of how you have modeled these qualities in your previous administrative experiences.
4. What would an average day as principal of the school look like to you?
5. In your opinion, what is the role of the principal in a charter school?
6. Describe your management style and how you personally organize the tasks assigned.

LEADERSHIP

1. What do you consider to be the essence of good leadership?
2. Describe the leadership qualities about yourself you think would be most beneficial to this school.
3. How would you incorporate and communicate the mission/vision of the school to staff, parents, and the community in your leadership style?
4. How would you balance the demands and concerns of teachers, parents, and students?
5. What are some ways you have practiced effective communications with teachers, parents, and students?

CURRICULUM

1. How would you handle controversial content material and/or subjects to be taught in the classroom?
2. How would you describe E.D. Hirsch's Core Knowledge and its importance in education reform?
3. If you were to be presented with curriculum unfamiliar or new to you, how would you go about gaining a better understanding of it?
4. In meeting the needs of students performing below proficiencies, what things do you take into consideration?
5. "Back-to-basics" has a variety of meanings. How would you define this term and what would it look like implemented?
6. Please describe your familiarity with technology and how you would integrate it into the academic program.

STANDARDS AND ASSESSMENTS

1. What is your understanding of the Colorado Student Assessment Program (CSAP) and its impact upon curriculum and instruction?
2. What experience do you have in assessing curriculum designs and their strengths and weaknesses?
3. How would you undertake the instituting of change and improvements in the current academic program?

continues

Sample Principal Interview Questions continued

4. What types of assessments are you familiar with and what is their importance in determining curriculum/instructional changes?

SCHOOL CLIMATE

1. What do you believe to be the most important quality(s) for a successful school and how would you work to implement these qualities into this school?
2. What is your philosophy on discipline and what strategies would you use in a K–8 school?
3. How would you describe your style of communication and what means would you institute for good communication with parents, teachers, and students?
4. What would you do to foster a sense of school pride, overall enthusiasm, and school spirit?
5. How would you define a "parent-driven" school?

SUPERVISION

1. Discuss the elements that you would take into consideration in evaluating teacher performance.
2. How would you regularly monitor a K–8 academic program for consistency and evaluate its effectiveness?
3. How would you assist a mediocre teacher in becoming an excellent asset to this school?
4. How would you be accessible to teachers, students, and parents?
5. What do you perceive as your greatest challenge in supervising a K–8 charter school?

GENERAL

1. Describe your knowledge of charter schools and the role they play in education reform.
2. In what ways do you perceive charter schools to be different from traditional public schools?
3. What do you feel are your greatest assets, skills, and/or talents that you would personally bring to this school to enhance its academic program and school community?

Courtesy of Elbert County Charter School, Elizabeth, Colorado.

SCHOOL ADMINISTRATOR INTERVIEW QUESTIONS

1. Tell us about your educational background.
2. Tell us about your work/professional experience.
3. Why do you want to become an administrator? Principal? Vice-Principal? Business Administrator? Coordinator?
4. What are your professional goals for the next 5–10 years?
5. Suppose you have a new idea for parent-school communications that you want to try; how would you go about it?
6. Do you think social faculty functions are important? Why?
7. What is your greatest professional strength? Weakness?
8. What are your three best leadership qualities? Describe at least one situation where one of these qualities was exemplified.
9. How would you improve school-community relations?
10. How do you view the current teacher evaluation procedure used by the school district? Would you change it if you could and how?
11. Describe your philosophy of discipline. In which methods of discipline have you been formally trained?
12. Please respond to the following: "Instruction and classroom management are related."
13. On a scale of 1 to 10, how would you rate yourself as a disciplinarian? Why?
14. What is the administrator's role in disciplining a child? The parent's role?
15. If problems arise with a student, what support services should the school provide?
16. Do you think schools should be "single-point-of-service" providers? Why?
17. What skills or interests do you have that would benefit our extracurricular programs?
18. In this era of fiscal belt-tightening, what are some ways you would maintain services/activities without incurring extra costs? How would you cut costs?
19. How would you involve parents in the education of their children?
20. What are some ways you measure a teacher's effectiveness?
21. How do you deal with a teacher's deficits?
22. A teaching assistant in your building comes to you, in confidence, to complain about something a teacher has done. How would you handle it?
23. What methods/strategies have you used in resolving conflicts between students? Teachers? Parent vs teacher?
24. How would you help teachers and staff improve student achievement?
25. What is the role of a Principal? Vice-Principal? Intern? (the position for which you are interviewing)
26. What is your vision of Special Education?
27. What is the impact of inclusion on the school community?
28. Why do you feel that you are the best candidate for this position?
29. What would you do if an angry parent came in unexpectedly to demand that his or her child not be suspended for fighting?
30. How would you go about improving instruction?
31. Correlate student achievement to teacher evaluations.
32. A teacher has an unusually high failure rate. What would you do? What if that teacher was uncooperative with you? What if that teacher started discussing these issues in the teachers' lounge?
33. Several teachers have been grumbling in the lounge about lack of administrative support. What would you do?
34. An informant (student) comes to you and reports that another student has brought drugs into the building. What would you do?
35. You suspect a female student has hidden a box cutter in her undergarments. What would you do?
36. What have you done with your life?
37. Why do you want this position as vice-principal since it would be a lateral move?
38. After being with the same large school district for so long, do you think you'll be able to adjust to a small, rural district?
39. What was your biggest career disappointment? How did you deal with it?
40. What are the skills you most need to develop to advance your career?
41. What do your supervisors tend to criticize most about your performance? Did you agree or disagree with them?

continues

School Administrator Interview Questions continued

42. What types of teachers (people) do you find it most difficult to get along with?
43. Have you ever hired anyone? Was it a successful experience?
44. Have you ever had to write a critical incident report on a teacher? What was the outcome?
45. A bus driver angrily demands that a disruptive student get off the bus immediately and at a place that is not the student's regular stop. The child calls home; the parent calls you and demands assistance in getting the child home. Are you responsible? What do you do?
46. What does the word "success" mean to you?
47. What does the word "failure" mean to you?
48. What does "Integrated Thematic Instruction" mean? What experience do you have with ITT?
49. Please elaborate on Learner Outcomes. What is your training experience in implementing Learner Outcomes?
50. What is a variance? Have you any experience in obtaining a variance? Developed a program involving a variance?
51. a. Three students approach you, in confidence, and state that a particular teacher has been hitting them with a ruler. What do you do?
    b. This is the second time in two years that this complaint has been made. Now what do you do?
    c. The teacher admits to this practice. Now what?
52. An angry cafeteria worker refuses to serve a very rude student and demands that the student be denied lunch for the next three days. What do you do?
53. What should a principal expect from teachers and staff?
54. What should teachers and staff expect from the principal?
55. Are there any questions that we did not ask you that you wish we had? If so, what are they?
56. What are the three most important roles of principal, vice-principal, and intern?
57. Discuss leadership style as it relates to organizational change. How do you know when you've been successful?
58. Discuss the relationship between instructional improvement, teacher evaluation, and staff development.
59. List three of your leadership strengths and provide an example of each.
60. Will you briefly describe your leadership style?
61. What are your strong points as an educator?
62. In what areas do you feel you need improvement?
63. How would students in your school describe you?
64. If I were to walk into your faculty workroom and ask teachers to describe you, what would they say?
65. What is your most significant achievement in education?
66. What have you done to keep abreast of developments in your field?
67. What steps would you take when developing a budget for your school?
68. What do you see as the role of the department head?
69. How would you involve the professional staff in the decision-making process?
70. What do you do for recreation?
71. How would you involve your community?
72. How would you describe your staff evaluation procedures?
73. What is the role of students in your building?
74. What is your position on competency-based education?
75. What is the most exciting thing going on in education today?
76. What changes have you made in your school since becoming a principal (or in your classroom if not a principal)?
77. What means of communication do you rely on most?
78. What inservice programs have you developed for and with your staff?
79. What curriculum changes have you made?
80. How do you make curriculum changes?
81. What role does student council play in your school?
82. What is the ideal role of the public school principal?
83. How important are athletics at your school?

continues

School Administrator Interview Questions continued

84. What activities do you rely on to improve or maintain staff morale?
85. What do you consider a principal's biggest pressure?
86. What are your educational goals, personal goals?
87. Where do you plan to be five years from now, ten years from now?
88. What methods do you use to evaluate your school and its programs?
89. How would you involve parents in your school?
90. What do you like most about being principal? Which part of the job do you least like?
91. Would you enjoy living in this community?
92. How important is it that people like you?
93. What are the major qualities you seek in a new teacher?
94. How do you resolve conflict between staff members, students, and staff?
95. What is your personal philosophy of education?
96. How would you describe the appearance of an effective classroom?
97. What special programs have you developed?
98. What is your school doing for the special needs children?
99. Can you cite evidence of recent professional growth?
100. What is your experience with management by objectives or working with a management team?
101. How would you organize the administrative staff for a school of this size?
102. How would you describe the role of the student counselors?
103. How would you react to a student calling you by your first name?
104. What are the most crucial issues facing a principal today?
105. What motivates you?
106. Why do you want to leave your current position?
107. How would you describe your last superintendent?
108. How would you describe your last day at work? How do you deal with personal stress?
109. What process do you use to understand all facets of a problem?
110. If you could, what would you change about your current situation?
111. Are there yearly goals established for your current staff? If so, how are they determined and how are they achieved?
112. Will you tell me about your personal experiences with school?
113. How do you resolve parental complaints when you know the teacher is in error?
114. How would you describe an effective drug policy for schools?
115. How do you manage your time effectively in school?
116. What are the last three books you have read?
117. How would you describe an effective public relations program for a school?
118. Can you tell me about your most successful professional experiences?
119. What personal qualities do you think are important for a principal to possess?
120. How often and in what manner do you conduct faculty meetings?
121. Do you work with a faculty council or similar group? If so, how are members selected?
122. Can you cite evidence of your efforts in staff development?
123. What has been your biggest contribution to your school system?
124. How many days have you missed in the last three years?
125. Can you describe how you organize meetings?
126. Why did you desire to go into school administration?
127. How would you use the following staff: assistant principal, office manager, etc.?
128. What are some of the actions for which you would suspend students?
129. Do you think a school can be too student oriented?
130. Do schools need to return to basics?
131. How important is it to you to be the best at what you are doing?
132. What is your opinion of the teachers' association?
133. If you were to take us on a tour three years from now, what would you say is significant about the educational program and philosophy of the school?

continues

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School Administrator Interview Questions continued

134. How do you involve students in the decision-making process?
135. How do you involve teachers in the decision-making process?
136. Can you cite evidence of your position on professional development of support personnel?
137. What concept would you insist be contained in the education philosophy of your school?
138. What role does the principal play in curriculum development?
139. Can you cite evidence of steps you have taken to eliminate sexual and racial stereotyping in the instructional program?
140. How do you define a high quality education program?
141. What instructional programs have you developed for the handicapped?
142. Can you name the two or three books or concepts that have influenced you most in your professional career?
143. What factors do you consider when allocating money for the educational program?
144. Can you cite your experiences in developing a schedule of classes for a school?
145. Can you cite effective teaching techniques that you look for when evaluating a class?
146. Can you cite steps you have taken to improve the performance of a poor teacher?
147. How do you view negotiated employee contracts?
148. What aspect of your current position consumes most of your time?
149. How would you describe an effective antivandalism program?
150. What energy-saving programs have you implemented in your school?
151. Why should you be hired instead of the other candidates?
152. What questions do you wish I would have asked?
153. If you are selected for this position, what do you think we can do to help you be successful?
154. What does "student as learner" mean to you?

Courtesy of David Zehner, dave@zehner.net.

INTERVIEW QUESTIONS: ASSISTANT PRINCIPAL

1. Tell us about yourself: a brief background of experiences in educational training, job experiences, and any other matters that you feel are important for us to know.
2. What is your philosophy of discipline in an educational setting?
3. What methods do you use to communicate with other administrators, the board of education, staff members, parents, and students?
4. What do you feel is the role of the assistant principal?
5. What is your experience in accounting for the various budgets that you will be responsible for in your role as assistant principal?
6. How do you handle a disappointing or stressful situation? What methods do you use to gain a perspective of an overall situation, particularly when the situation is negative?
7. How do you handle nonreceptive parents/guardians in a student disciplinary situation when they may not agree with a decision you make related to the enforcement of a school rule relative to their child?
8. Confidentiality relative to students and employees is extremely important. How do you maintain confidentiality of persons in the school and yet be able to communicate to parents/guardians about their child?
9. Why are you the best candidate for this position? What can you offer that another candidate may not?

Courtesy of Colon Community Schools, Colon, Michigan.

COMMON ILLEGAL INTERVIEW QUESTIONS AND THEIR LEGAL COUNTERPARTS

Inquiry Area	Illegal Questions	Legal Questions
National Origin/Citizenship	• Are you a U.S. citizen? • Where were you/your parents born? • What is your "native tongue?"	• Are you authorized to work in the United States? • What languages do you read, speak, or write fluently? (*This question is okay, as long as this ability is relevant to the performance of the job.*)
Age	• How old are you? • When did you graduate from State University? • What is your birthdate?	• Are you over the age of 18?
Marital/Family Status	• What's your marital status? • Who do you live with? • Do you plan to have a family? When? • How many kids do you have? • What are your child care arrangements?	• Would you be willing to relocate if necessary? • Travel is an important part of the job. Would you be willing and able to travel as needed by the job? (*This question is okay, as long as ALL applicants for the job are asked it.*) • This job requires overtime occasionally. Would you be able and willing to work overtime as necessary? (*Again, this question is okay, as long as ALL applicants for the job are asked it.*)
Affiliations	• To what clubs or social organizations do you belong?	• List any professional or trade groups or other organizations that you belong to that you consider relevant to your ability to perform this job.
Personal	• How tall are you? • How much do you weigh?	• Are you able to lift a 50-pound weight and carry it 100 yards, as that is part of the job? (*Questions about height and weight are not acceptable unless minimum standards are essential to the safe performance of the job.*)

continues

Common Illegal Interview Questions and Their Legal Counterparts continued

Inquiry Area	Illegal Questions	Legal Questions
Disabilities	• Do you have any disabilities? • Please complete the following medical history. • Have you had any recent or past illnesses or operations? If yes, list and give dates. • What was the date of your last physical exam? • How's your family's health? • When did you lose your eyesight? How?	• Are you able to perform the essential functions of this job with or without reasonable accommodations? *(This question is okay if the interviewer has thoroughly described the job.)* • As part of the hiring process, after a job offer has been made, you will be required to undergo a medical exam. *(Exam results must be kept strictly confidential, except medical/safety personnel may be informed if emergency medical treatment is required, and supervisors may be informed about necessary job accommodations, based on the exam results.)* • Can you demonstrate how you would perform the following job-related function?
Arrest Record	• Have you ever been arrested?	• Have you ever been convicted of ____________? *(The crime should be reasonably related to the performance of the job in question.)*
Military	• If you've been in the military, were you honorably discharged?	• In what branch of the Armed Forces did you serve? • What type of training or education did you receive in the military?

Source: *Common Illegal Questions and Their Legal Counterparts, How Do I Interview Successfully?*, Pomona College, Claremont, California, © 2001, www.pomona.edu.

Chapter 2

Professional Growth

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Chapter 2

Professional Growth

RETENTION AND SUPPORT

RETAINING PRINCIPALS[*]

The shortage of applicants for the job of principal is receiving a lot of media coverage. Stories feature schools opening with temporary principals at the start of the school year and tell of vacancies due to retirement. A study of elementary and middle-school principals conducted by the National Association of Elementary School Principals (NAESP) in 1998 found that the 42 percent turnover that has existed during the last ten years is likely to continue into the next decade (Doud and Keller 1998). The shortage of applicants for principalships makes retaining current principals even more critical.

Let us examine some reasons—other than retirement—that school principals leave their jobs and offer strategies that districts can employ to retain them.

Why Do Principals Leave Their Jobs?

Today's principal is faced with the complex task of creating a schoolwide vision, being an instructional leader, planning for effective professional development, guiding teachers, handling discipline, attending events, coordinating buses, and all the other minute details that come with supervising a school (Richard 2000).

"In short, the . . . principal must be a hero!" said Diane Yerkes and Curtis Guaglianone (1998). They point to many factors that make the principalship highly stressful:

- long hours—for most, a 60 to 80-hour workweek

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[*] Source: E. Hertling, ERIC Digest 147, Educational Resources Information Center (ERIC) Clearinghouse on Educational Management, Eugene, Oregon, 2001.

- workload and complexity of job
- supervision of evening activities "unending"
- minimal pay difference between top teacher and administrator
- feeling overwhelmed with very high expectations
- state and district mandates that require "mountains" of paperwork
- increasingly complex society and social problems

The increasing demands of the position can cause many principals to feel the stress is not worth it.

"It used to be that you could get by being a good manager. Now principals must do everything from ensuring that immigrant students learn English to bringing all kids up to high standards, and so much more," said Carole Kennedy, principal in residence at the U.S. Department of Education (Ashford 2000).

Erosion of authority to effect change, escalating expectations of accountability, lack of support, and a stressful political environment for school leaders are other factors that cause principals either to consider leaving the field entirely or to request classroom teaching assignments (Adams 1999).

Are Two Heads Better Than One?

To ease the burden on overworked principals, some school districts are now turning to job sharing. Dividing tasks between two leaders who possess skills in different areas—such as supervising instruction and managing discipline—lets schools benefit from more well-rounded leadership. Job sharing also makes it possible for someone who is interested in pursuing a career in administration to fill a part-time internship-type position.

How does job sharing work? It depends on the needs of the school. Muffs and Schmitz (1999) describe one school's solution: The "veteran" principal works the "first shift," and the intern principal covers the afternoon hours. Because the job requires constant communication, the two principals' shifts overlap at least one hour a day so they can work together. Or, one observes a class while the other addresses other school concerns. Although both principals attend some school-related evening events, they alternate for other afterschool activities so that both principals have more time to spend with their families.

Farragut High School in Knoxville, Tennessee, also has experimented with job sharing—except the job of principal is not shared by two people, but by a team of six (Ashford). There is one principal for each grade level and that person moves along with his or her class. For example, this year's tenth-grade principal will be the eleventh-grade principal next year. After the four-year rotation is complete, he or she starts over again with a new class of ninth-graders. In addition, Farragut also has a chief principal whose role is to work closely with teachers as an instructional leader. He serves as the final authority and oversees community relations, staff development, custodial maintenance, and other administrative functions, as well as teacher evaluations. A curriculum principal is in charge of curriculum matters, including textbooks and a master schedule for the whole school, and spends time in the classroom working with students.

How Can the Traditional Principal's Role Be Reinvented?

Many principals complain that they are forced to spend too much time handling administrative tasks such as setting bus schedules and overseeing custodians, and too little time on instructional leadership. "Some weeks I spend more time arranging to have the garbage picked up by the township than observing classes," said one principal (Ashford).

In England and Wales, some schools have already addressed that problem by splitting administrative duties such as budgeting and building management away from instruction. School heads work in tandem with business managers, called bursars (Richard).

In January 2001, the Houston, Texas, school district inaugurated a training program to certify business managers, who are expected to ease the burden on principals. The business managers are responsible for administrative functions such as the school budget process, purchasing, payroll, facility management, data management, transportation coordination, management of noninstructional personnel, and compliance with state, district, and federal regulations. The district suggests that principals might opt to use money in their budget to hire one of these business managers in lieu of an assistant principal (Ashford).

What Other Methods Exist To Retain Principals?

Hiring additional people to distribute the principal's workload is prohibitively expensive for some districts. NAESP's study found that unless enrollment at a school exceeds 600 students, it is unlikely that an assistant principal position will be created (Doud and Keller).

One way to keep principals at their jobs is to provide an increased level of professional development. The Educational Research Service (ERS) found that principals repeatedly expressed a desire to augment their expertise and personal skills, but found the current professional-development activities at their schools lacking (2000). In a study of 105 California superintendents, more than 65 percent listed poor interpersonal skills as a reason that principals may fail at their jobs (Davis 1997). The second-highest reason was poor decision making. Both of these failings could be addressed—and avoided—through professional development.

ERS reported that one of the most frequently requested opportunities for development was the chance to network with other principals to exchange ideas, evaluate the demands of their jobs, and discuss how to implement change at their schools. Principals also placed a high value on follow-up training and training on how to translate ideas about change into practice.

Districts can learn from the Chicago Public Schools, which has developed some of the most comprehensive programs for professional development of principals. Training is available for aspiring principals, first-year principals, and experienced administrators, and is geared toward addressing the specific needs of each group. Techniques used in the training include case study, simulation, reflective analysis, and coaching (Peterson and Kelley 2001).

Casey and Donaldson (2001) cited the case of California's Pajoaro Valley Unified School District as a prime example of comprehensive professional development. The program sets a common vision for principals through its Professional Standards for Administrators, which establishes clear goals for principals. Their Administrative Cycle of Inquiry includes self-assessment, personal and site goal-setting, professional development, and evaluation. This offers the principal the opportunity to self-reflect and to meet with his or her supervisor and also with a peer/mentor partner.

The program is tailored to meet the needs of the district. Pajoaro Valley's zone assistant superintendents gather information from principals regarding their professional-development interests. The district's Professional Communities Team then takes this information and provides the kinds of training and growth opportunities that the principals perceive they need.

What Can School Boards Do To Help?

"The superintendent and the board of trustees must be committed to a new vision of quality, accountability, and sensitivity to ... administrators," suggested Yerkes and Guaglianone.

Although the principal is responsible for establishing the climate and culture of the school, Yerkes and Guaglianone said the principal is not the sole source of the positive attributes of a healthy school. Students, teachers, staff, parents, and the community all are partners in creating a dynamic school. The authors suggested school boards should educate the community about the changing role of the principal to garner increased support for principals and perhaps lessen the demands on those occupying this role.

Yerkes and Guaglianone also advised boards to take the following steps:

- Offer financial support for sabbaticals to give burnt-out principals a reprieve.
- Create a family-friendly environment to accommodate principals' personal lives.
- Review the salary schedule and find a way to reward principals.
- Determine flexible attendance requirements and expectations at school functions.
- Redesign the organizational structure of the job.

Doud and Keller also suggested that boards devise financial incentives to keep retirement-eligible principals from leaving.

The principal's job is complex and demanding—and so is the task of administrators faced with retaining them. There is no magic solution, no easy answer. However, thoughtful examination of the nature of the principal's role will better equip school districts to retain principals.

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Sample Orientation Checklist

Competency 1: Leadership for a Results-Oriented Organization	Superintendent	Principal
• Develop a vision for an effective school	________	________
• Develop a vision for effective teaching	________	________
• Discuss curriculum and instruction, scope, and sequence of material(s)	________	________
• Standardized Test Score results	________	________
• Setting goals and objectives	________	________
• Attaining/maintaining regional accreditation standards	________	________
• Other tasks (miscellaneous)	________	________

Competency 1 Unresolved Issues:

Competency 2: Leadership for a Customer-Focused Organization	Superintendent	Principal
• School safety and safety plans (fire, tornado, other)	________	________
• PTA/PTO relations and functions	________	________
• Professional development activities	________	________
• Collaborative leadership	________	________
• School/classroom discipline procedures	________	________
• Other tasks (miscellaneous)	________	________

Competency 2 Unresolved Issues:

Competency 3: Leadership of Human Resources	Superintendent	Principal
• Principal's evaluation cycle (with forms and timeline)	________	________
• Evaluation of certified personnel	________	________
• Evaluation of classified personnel	________	________
• Recruiting and hiring policies and procedures	________	________
• Other tasks (miscellaneous)	________	________

continues

Sample Orientation Checklist continued

Competency 3 Unresolved Issues:

Competency 4: School Management

	Superintendent	Principal
• Managing the school office	________	________
• Building maintenance, cleanliness, work orders, self-help	________	________
• Building security, lock and key control	________	________
• Child Nutrition Program	________	________
• Emergency dismissal of school	________	________
• Other tasks (miscellaneous)	________	________

Competency 4 Unresolved Issues:

Competency 5: Management of Resources

	Superintendent	Principal
• Transportation system	________	________
• Public and nonpublic funds accounting	________	________
• Audits	________	________
• Federal funds accountability	________	________
• Textbooks (requests, purchasing, replacements, inventories)	________	________
• Equipment inventories and accounting	________	________
• Other tasks (miscellaneous)	________	________

Competency 5 Unresolved Issues:

continues

Sample Orientation Checklist continued

	Superintendent	Principal
Other Discussion Items		
• Board of Education Policy Manual (provide current copy)	________	________
• Organization and functions of Central Office	________	________
• Special support available from Central Office	________	________
• Communication (regular and special)	________	________
• Principals' meetings	________	________
• Using the "chain of command"	________	________
• Payroll procedures	________	________
• Leaves, absences applicable to system employees	________	________
• Length of workday and year (contract)	________	________
• Principal position salary and benefits	________	________
• Other (miscellaneous)	________	________

Other Items Unresolved Issues:

The superintendent or designee provided an orientation for ______________________________ on

__________________ (date) to discuss district and school policies and procedures.

____________________________ Superintendent's signature

____________________________ Principal's signature

Note 1: The superintendent and principal should initial each section/item after discussions are complete.

Note 2: The superintendent and principal should receive a copy of this document. A completed copy should be placed in the principal's personnel folder.

Source: Copyright © 2001, David Gray.

SUPPORTING PRINCIPALS IN THEIR ROLES AS INSTRUCTIONAL LEADERS

The role of the principal has historically been one of a manager, rather than a leader. It has been one consumed with maintaining, rather than creating; keeping the lid on, rather than blowing the lid off. Principals convey their desire to be instructional leaders, but are inundated with myriad tasks and responsibilities that preclude their ability to be informed learners and educational leaders.

Assumptions for Change and Support

- It must be accepted that the principal's role is to be a learner in order to be a leader.
- Principals must have knowledge of appropriate professional development, but not have to deliver it.
- A shared vision for student achievement is vital to the foundation of this effort.
- Professional development for principals is based on the shared common vision and the identified gaps in the system.
- The district is committed to being a community of learners and makes instruction its highest priority in attaining student achievement.

The Means to the End

- *Principal professional development*—monthly half-day or day-long events focused upon specific teaching and learning (serves as a model for principals to share with their schools). Recent training by Melinda Beckwith and Adrienne Smith exemplifies this model.
- *Review of the data*—how do the data drive the instruction toward achievable goals? Principals must understand the state of system results, as well as their specific site summaries. The assessment staff of the district must be able to communicate school assessment results in a usable format.
- *The Department of Instruction*—The relationship between the Department and building principals must become interrelated and integral to one another. Department members will join Site Leadership Teams in order to understand the issues with which teachers, principals, and parents are dealing. They will be responsible for developing professional development opportunities for principals, as well as teachers.
- *Principal assistant and intern training*—the opportunity to lay the foundation for instructional needs in our district, as well as managerial tasks expected from building administrators.
- *New principals coffees*—monthly informal conversations with the Deputy Superintendent to have questions answered and guidance given in a comfortable environment.
- *Subject-specific study groups*—voluntary study groups of principals who share a common interest or need in their building. Hosted by members of the Department of Instruction or Deputy.
- *Building-specific study groups*—principals are assigned to these study groups, which are designed to meet specific needs in buildings that share the common challenge of increasing the number of students meeting or exceeding standards. The strategy of "problem sharing" is utilized.
- *Site visits*—principals take the opportunity to visit one another's buildings with a specific focus in mind. Demonstration lessons are observed and time for discussion and reflection is created. These visits can be self-selected or assigned.
- *Master principal/mentor*—a system to assist principals in supporting one another is created in order to maximize the skills and experience of senior principals, as well as build the capacity in the system for growth. Experienced principals who do not have assistants in their buildings assume the responsibility for mentoring new principals.
- *Goal setting*—as the district's goals are identified and discussed in the principal conferences, building administrators develop their site goals in collaboration with district administrators, their mentors, and peer groups. It will be their responsibility to share how their professional development plans, budgeting, and staffing efforts support those goals and will be the focus of evaluation discussions at year's end.
- *Evaluation*—a process conducted by the Superintendent's Cabinet, which involves a review of the school's analysis of data, professional development efforts, budget, staffing, governance, parental/community involvement, and the opportunity to visit classrooms and speak with teachers and students. Principals will be held accountable for continuous growth toward academic achievement.

Courtesy of Springfield Public School District 186, Springfield, Illinois.

PEER COACHING: A HANDS-ON FORM OF ADMINISTRATIVE STAFF DEVELOPMENT*

Introduction

A tremendous turnover in educational administrative personnel is occurring in America. It is estimated that two-thirds of this nation's 100,000 school principals will retire or leave the profession by the end of this decade. In the state of Illinois, administrative ranks have been greatly reduced as a result of state and local retirement incentives. This turnover necessitates that school districts devote increased attention and resources to administrative staff development, with a focus on principals. As one approach to such staff development, the success of peer coaching for teachers might serve as a model that could be adapted for use with principals. Many districts, either individually or in collaboration with neighboring districts, have begun some form of either formal or informal peer coaching programs aimed at meeting the needs of their principals. However, the use of this approach has not been universally endorsed.

Daresh and Playko (1993) identified five ways that administrators differ from teachers and, therefore, might require a separate form of staff development designed for their unique needs. They earlier advocated a mentoring program for administrators rather than a peer-coaching model, but then noted the following differences between administrator and teacher situations: (a) the research base on administration is not clear enough to guide mentoring programs, (b) administrators do their jobs in isolation from peers, (c) new administrators are not new to schools, (d) administrators are bosses, and (e) administrative peers usually are not true equals to the beginner.

They then listed several ways that principals can help each other, e.g., peer pals, career guides, sponsors, or patrons. However, the "peer pals" example is similar to the peer-coaching model.

Peer Coaching

Peer coaching is a form of cognitive coaching that involves peers working together in an ongoing process. Two or more individuals work together to provide mutual support and guidance. A primary goal of peer coaching for principals is to enhance the decision-making process. This approach allows reflection on current practices, sharing of ideas, and an opportunity to improve and enhance problem solving (adapted from Robbins 1991).

A benefit of any good peer-coaching model is to reduce the level of loneliness and isolation that principals face. Peer coaching can provide principals with the opportunity to reflect on, articulate, and better understand current trends and practices in education. By having a person with whom to discuss these issues, better decisions can be made, and principals can better anticipate the reactions that a decision may invoke. It is much easier to respond to questions and criticism when the principal is able to anticipate those questions and criticisms. Decisions that have been thought out and discussed tend to be superior to those that are made spontaneously and usually will result in better decisions being made.

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*Source: Harold London and Carole Sinickil, *NCA Quarterly*, Vol. 73:3, Commission on Accreditation and School Improvement, Tempe, Arizona, © 1999.

Background of Mutually Supporting Relationships

Cognitive coaching has been defined as "a non-judgmental process built around a planning conference, observation, and a reflecting conference" (Costa and Garmston 1993). In the case of a principal-to-principal coaching situation, there is seldom an observation involved. According to Costa and Garmston, "When a coaching relationship is established between two professionals with similar roles, or peers, it can be referred to as peer coaching."

The nature of the tasks that principals are asked to perform is unique. These tasks require a high degree of problem solving ability and creativity. However, the principal's role is changing due to increasing time demands, dwindling resources, societal changes, greater challenges in student discipline, increasingly diverse populations, and state and federal legislation. To be successful, the principal must be able to meet the expectations of this changing role. The principal also must take action and make decisions even though it often requires standing alone and responding to questions and criticism from various constituencies. The principal's role is often lonely, which is a perfect scenario for peer coaching with its opportunities for collegial discussion and processing of information. It is not unusual in a peer coaching situation for the participants to help just by listening and giving the partner a chance to sort out the issues. "The principal's role is an exquisitely intellectual enterprise which requires responses that are not patterned, judgments that are delicately thoughtful and many times, perhaps, quite agonizing" (Blumberg 1987). As a result, a principal who has the opportunity to reflect before acting and who has a colleague who can assist in thinking through a decision will be more likely to make a good decision.

Daresh and Playko (1993) have addressed mentoring as the overriding philosophical base for their work. They listed the following desirable characteristics that mentors should have:

- Mentors should have experience as practicing school administrators, and they should generally be regarded by their peers and others as being effective.
- Mentors must demonstrate generally accepted positive leadership qualities such as, but not limited to, intelligence; good oral and written communication skills; past, present, and future understanding with simultaneous orientation; acceptance of multiple alternative solutions to complex problems; and clarity of vision and the ability to share that vision with others in the organization.
- Mentors need to be able to ask the right questions of beginning administrators and not just provide the right answers all the time.
- Mentors must accept an alternate way of doing things and avoid the tendency to tell beginners that the way to do something is the way they used to do it.
- Mentors should express the desire to see people go beyond their present levels of performance even if it might mean that the proteges are able to do some things better than the mentors can do them.
- Mentors need to model the principles of continuous learning and reflection.
- Mentors must exhibit the awareness of the political and social realities of life in at least one school system; they know the real ways that things get done.

In the peer-coaching model, principals should seek a coach who has many of the characteristics listed above. Probably the only characteristic we would see as not necessary would be that of experience. Experience is helpful but not critical in a peer-coaching scenario.

The Case

In 1990, the authors were hired to serve as the two principals in a two-school district in the suburban Chicago area. At that point in time, one was fresh from a five-year stint as a principal in an inner-city Chicago public school, and the other was embarking on a first principalship after several years as an associate principal. We found that the only way for us to succeed in our new roles was to trust and support each other.

Our district was undergoing major changes in demographics and expectation for the schools, involving a community task force that had recently taken the district to task for not meeting the needs of the community. Since neither of us had an understanding of the history behind the district, we needed to rely on and trust one another. Each decision we made had to be thought through and analyzed for possible impact. The community closely scrutinized all decisions, and the ramifications of any poor decision could threaten our job security. Together we could succeed. Individually we might at best, flounder. The strength that we realized as a team was much more than twice the strength each of us possessed individually.

During this period we often had students from the same family, which resulted in a need to discuss parental concerns. Our district was undergoing changes that brought about a situation where in our three years together, we had three superintendents. This necessitated the two of us having to assume a higher profile in dealings with our governing board, and we had more direct communication with the board. We also faced situations where we shared teachers and facilities. All of these circumstances precipitated our need to communicate and rely on each other.

After three years, one of us left the district to assume a position with another district, but we maintained the close, supportive relationship. We frequently called each other to consult about personnel, students, and potential legal issues. The ability to talk about a problem often would generate ideas for solving it, without the other saying a word. We have reached a point where we can almost anticipate the way the other will respond to most situations. The peer-coaching relationship we developed has endured and flourished even though we no longer work in the same district. The relationship that we established is based on the premises outlined in the following section and is the model we suggest for a peer-coaching program.

Transporting the Model

Originally, we developed an informal model based on need. However, we have outlined ideas that can formalize the process to make it applicable for use elsewhere. Costa and Garmston (1993) have identified the following three goals for cognitive coaching:

1. Establishing and maintaining trust and assured reliance on the character, ability, or strength of someone or something.
2. Facilitating mutual learning, which is the engagement and transformation of mental processes and perceptions.
3. Enhancing growth toward holomony, which we define in two parts: individuals acting autonomously while simultaneously acting interdependently with the group.

Cognitive coaching involves mediating behaviors by the coach. According to Costa and Garmston (1993), a mediator is one who diagnoses and envisions desired stages for others, constructs and uses clear and precise language in the facilitation of others' cognitive development, devises an overall strategy through which individuals will move themselves toward desired states, maintains faith in the potential for continuous movement toward more autonomous states of mind and behavior, and possesses a belief in his or her own capacity to serve as an empowering catalyst of others' growth.

There has been some confusion about the differences between peer coaching and mentoring. Peer coaching is a two-way relationship, whereas mentoring is a one-way relationship. In working with principals, the benefits of a two-way relationship become clear: both participants have the knowledge, skills, and expertise to share, regardless of the amount of time spent as a principal. We believe peer coaching is more efficient and beneficial for the participants. All principals have experience in schools and have worked under the direction of other principals. This experience helped to develop, in each new principal, a set of "norms" based on the way his/her principals handled certain situations. This experience factor also should bring a unique perspective to the role and allow that person to contribute suggestions and even support to a very experienced peer-coaching partner.

A model for peer coaching should include the following:

- Participants select their coaching partners.
- Participants train together in listening, observing group and individual processes, and communications/feedback.
- Participants work in a variety of roles.
- There is cross- (inter-) district participation.
- There is cross-age/experience participation.
- There is cross-gender participation when feasible.
- There are monthly opportunities for participants to gather informally.
- There are opportunities for coaching partners to observe each other at work.
- There are formal and informal opportunities for feedback.

The model should provide the participants with the freedom and flexibility to adapt it to meet their needs. The needs of the group and the needs of individuals within the group are not always the same, and the program has to allow for the different needs of its participants. The need for a strong staff development program for administrators is obvious in light of the rapid turnover of personnel working in that role. A peer-coaching model can meet that need, based on the success of peer coaching for teachers.

Concluding Comments

When a new principal steps into a position, he or she will often know little about the reality of the circumstances. Frequently, the new principal is a stranger and must analyze the situation and make some quick decisions about what the priorities must be and how to go about accomplishing them. A model based on the above listed points should be established through either the district, if it is large enough, or an intermediate service agency where the districts are too small to efficiently implement such a program on their own.

In Illinois we have a perfect structure in place to handle this role on a regional basis in the "Administrator's Academy," a state-mandated program with the charge of providing continuing education for administrators. This organization can easily develop a model that can be implemented on a regional basis, statewide. Many other states have intermediate service agencies in place that could provide the framework for a successful peer-coaching program for principals in those states. Regardless of who establishes a peer-coaching program for principals, those principals who have the opportunity and participate in the program will find tremendous benefits as a result of their participation.

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LEADERSHIP DEVELOPMENT

CHARACTERISTICS OF SUCCESSFUL PRINCIPALS

The magic recipe for improving problematic schools always includes leadership. Strong, committed, and effective leaders do not, by themselves, guarantee success, but the lack of such leadership absolutely ensures continuing failure.

"Turn-around" principals come in a bewildering variety of styles and backgrounds. But they have all shared qualities too often overlooked by superintendents or administrators in identifying leaders to do the job. Successful principals share the following characteristics:

- They don't need everyone to like them. Turning around failing schools requires principals willing to be very unpopular with many, sometimes most, faculty members for extended periods of time.
- They involve the faculty in a long-range plan. Few schools turn around in one year; three is a minimum, and four to six is generally what is required. Teachers need the reassurance and framework of a three-to-six-year plan, and they need to be part of making it—selecting the curriculum, defining the measurements of improvement, evaluating one another and the school's progress, and correcting the course as they go.
- They get rid of teachers who do not, or cannot, get with the plan. A long-range plan isn't a plan unless the team is executing it. No one likes giving a bad evaluation, involuntarily transferring out, or terminating a teacher who can't teach or help the plan succeed, but nothing is accomplished by carrying nonproducers.
- They benchmark progress. Like everyone else, teachers need interim measurements on the long road forward. A semester of specific improvements in what students learn can keep people trying and engender a culture of confident commitment.
- They celebrate success. Teachers need more than plans and accountability. They need to know not just that they're succeeding, but that leaders recognize and appreciate their accomplishments.
- They coach, not command. Good principals are not afraid to get in front of a teacher's students and show them how to do it. Their directions are based on a clear consensus and record of achievement.
- They have the courage to fail. All schools turning around fail in their efforts at least some of the time. Effective principals acknowledge failure calmly and encouragingly, and appreciate teachers for trying something new and difficult.

Source: Adapted from John Gardner, "Leading Hard-to-Staff Schools," *State Education Leader*, Vol. 18:2, Education Commission of the States, © 2000.

Principal Leadership Self-Assessment

Take a minute to look at yourself as a leader. Do you have the qualities to make a valuable leader to your group? Review leadership qualities and put yourself to the test. After you have looked at yourself as a leader, answer the following questions:

- Attributes:
  - _____ Do I view problems as opportunities?
  - _____ Am I a priority setter?
  - _____ Am I customer focused?
  - _____ Am I courageous?
  - _____ Am I a critical and creative thinker?
  - _____ What is my tolerance for ambiguity?
  - _____ Am I positive toward change?
  - _____ Am I committed to innovations that are best for children?
- Skills:
  - _____ Do I debate, clarify, and enunciate my values and beliefs?
  - _____ Can I fuel, inspire, and guard the shared vision?
  - _____ Can I communicate the strategic plan at all levels?
  - _____ Do I recognize the problems inherent to the planning process?
  - _____ Do I ask the big picture questions and "what if?"
  - _____ Can I support the school staff through the change process?
  - _____ Do I encourage dreaming and thinking the unthinkable?
  - _____ Can I align the budget, planning, policies, and instructional programs with the district goals and vision?
  - _____ Do I engage in goal setting?
  - _____ Can I develop and implement action plans?
  - _____ Do I practice and plan conscious abandonment?
  - _____ Do I transfer the strategic planning process to planning?
- Knowledge:
  - _____ Do I know board and superintendent roles and responsibilities in planning and implementing plans?
  - _____ Do I know the strategic planning process, short- and long-term planning tools?
  - _____ Do I know the board and district vision, beliefs, and mission?
  - _____ Do I know the relationship of the budget to district planning?
  - _____ Do I know local, state, and national factors that affect education?
  - _____ Do I know the best practices and research on improving academic achievement?
  - _____ Do I know the process of change and paradigm shifts?
  - _____ Do I know the strategies to involve and communicate with the community?
- What trait were you proud to say describes you?
- Was there any trait you would not consider desirable?
- What trait are you trying to make more descriptive of you?

continues

Principal Leadership Self-Assessment continued

TOOLS FOR IMPROVED ADVOCACY

Use the following steps to state your assumptions and describe the data that led to them.

- Explain your assumptions.
- Make your reasoning explicit.
- Give examples of what you propose, even if they are hypothetical or metaphorical.
- As you speak, try to picture the other person's perspectives.
- Publicly test your conclusions and assumptions.

The following are examples of what to say:

- Here's what I think and here's how I got there.
- I assumed that… .
- I came to this conclusion because… .
- If I enter a classroom, this is what I might see… .
- What do you think about what I just said?

TOOLS FOR IMPROVED INQUIRY

Use the following tips to gently find out what data they are operating from:

- Use unaggressive language and ask in a way that does not provoke defensiveness.
- Draw out their reasoning. Find out as much as you can about why they are saying what they are saying.
- Check your understanding of what they have said.
- Listen for new understanding that may emerge. Don't think about your response.

The following are examples of what to say:

- What leads you to conclude that?
- What causes you to say that?
- Instead of "What's your proof?" say, "Can you help me understand your thinking here?".
- What is the significance of that?
- How does this relate to your other concern?
- Can you describe a typical example?
- Am I correct that you're saying… ?

TOOLS FOR WHEN YOU ARE AT AN IMPASSE

Embrace the impasses, and tease apart the current thinking by doing the following:

- Look for information that will help people move forward.
- Ask what logic or data might change their views.

continues

Principal Leadership Self-Assessment continued

- Avoid speaking from a different point of view.

The following are examples of what to say:

- What do we know for a fact?
- What don't we know?
- What do we agree upon, and what do we disagree upon?
- What, then, would have to happen before you would consider alternatives?

INDIVIDUAL SELF-ASSESSMENT

- journal keeping
- portfolios of selected documents produced in the course of your work
- performance indicators related to goals and activities of your professional plan
- surveys
- mentors as "critical friends"

LEADERSHIP BEHAVIOR

1. Establish a clear direction.
    - Envision the future.
    - Focus attention.
    - Articulate values.
    - Enlist others.
2. Communicate, communicate, communicate.
    - Provide meaning.
    - Utilize all forms.
    - Remember "fire in belly."
3. Position the organization.
    - Build trust (encourage the heart).
    - Maintain reliability and constancy.
    - Plan small wins.
    - Recognize contributions.
    - Celebrate accomplishments.
4. Continue self-development.
    - Set the example (walk like you talk).
    - Have positive self-regard.
    - Focus on winning.
    - Search for opportunities.
    - Experiment and take risks.
5. Empower followers/members.
    - Establish clear buy-in.
    - Foster collaboration.
    - Develop a supportive environment.

continues

Principal Leadership Self-Assessment continued

The Tasks of Leadership

- Leaders establish vision and set direction.
- Leaders affirm and articulate values.
- Leaders have high standards and high expectations.
- Leaders are accountable.
- Leaders motivate.
- Leaders achieve unity.
- Leaders involve others in decision making.
- Leaders serve as role models.
- Leaders listen and explain.
- Leaders represent the organization.
- Leaders guide constituents and maintain their support.

BEST COPY AVAILABLE

Source: *Education Leadership Toolkit*, The School Board of Tomorrow, National School Boards Association, Alexandria, Virginia.

Principal's Image Questionnaire

Please respond to the following questions about the principal honestly and frankly. Do not give your name; all responses are anonymous. Neither the principal nor anyone else will be able to associate your responses with you.

Please circle your answer.

1. Does the principal express ideas smoothly and articulately?

   Never Seldom Sometimes Usually Always

2. Is the principal patient, understanding, considerate, and courteous?

   Never Seldom Sometimes Usually Always

3. Does the principal show interest and enthusiasm toward his or her work?

   Never Seldom Sometimes Usually Always

4. Does the principal demonstrate the initiative and persistence needed to accomplish goals and objectives?

   Never Seldom Sometimes Usually Always

5. Does the principal demonstrate a thorough knowledge and understanding of school administration?

   Never Seldom Sometimes Usually Always

6. Does the principal support those responsible to him or her?

   Never Seldom Sometimes Usually Always

7. Does the principal adjust rapidly to changes in plans and procedures?

   Never Seldom Sometimes Usually Always

8. Does the principal function effectively under pressure?

   Never Seldom Sometimes Usually Always

9. Does the principal consider divergent views?

   Never Seldom Sometimes Usually Always

10. Does the principal assign tasks to personnel capable of carrying them out?

    Never Seldom Sometimes Usually Always

11. Does the principal show a willingness to try new approaches or methods?

    Never Seldom Sometimes Usually Always

continues

Principal's Image Questionnaire continued

12. Does the principal create a feeling of unity and enthusiasm among staff, students, and parents?

Never Seldom Sometimes Usually Always

13. Does the principal demonstrate a sense of humor at appropriate times?

Never Seldom Sometimes Usually Always

14. Does the principal make effective decisions?

Never Seldom Sometimes Usually Always

15. Does the principal effectively evaluate programs, practices, and personnel?

Never Seldom Sometimes Usually Always

16. Does the principal coordinate the efforts of those responsible to him or her so that the school operates efficiently?

Never Seldom Sometimes Usually Always

17. Is the principal conscious of the problems that exist on your level?

Never Seldom Sometimes Usually Always

18. Does the principal maintain control of emotions when things are not operating smoothly?

Never Seldom Sometimes Usually Always

19. Does the principal demonstrate leadership, which results in meeting important goals and objectives?

Never Seldom Sometimes Usually Always

20. Are the principal's grooming and attire appropriate?

Never Seldom Sometimes Usually Always

21. Are the principal's communications effectively written and do they accurately express his or her thoughts and ideas?

Never Seldom Sometimes Usually Always

22. Does the principal support the policies, procedures, and philosophy of the Board of Education?

Never Seldom Sometimes Usually Always

23. Does the principal create an atmosphere in the school that is conducive to effectively meeting goals and objectives?

Never Seldom Sometimes Usually Always

continues

Principal's Image Questionnaire continued

24. Does the principal create a sense of trustworthiness when interactive with him or her?

Never Seldom Sometimes Usually Always

Please list below one or more weaknesses of the principal.

Please list below one or more strengths of the principal.

Source: Jeff Stratton, Editor, *Board & Administrator,* Aspen Publishers, Inc., © 2001.

MISTAKES EDUCATIONAL LEADERS MAKE*

Most administrator training programs focus on what educational leaders *should* do rather than on mistakes or what they *should not* do. We believe knowing what not to do is as important, if not more important, than knowing what to do.

This belief is based on the premise that the behaviors a person should avoid are far fewer than the behaviors a person should exhibit. It is also based on awareness that the negative fallout of one mistake may be far-reaching, offsetting the beneficial effects of a number of positive actions.

According to Davis (1997), approximately one in three principals leave their positions involuntarily. Most states provide limited due-process protection for principals who are at risk of losing their positions. In the absence of administrative tenure, principals legally become "teachers on special assignment" who can be demoted without cause (Davis). Considering these factors, Davis asserts there is a need for understanding the kinds of leadership behaviors that create problems for principals and those that they are responsible for leading.

Hogan, Raskin, and Fazzini (1990) investigated three types of flawed leadership. They found individuals can possess well-developed social skills and an attractive interpersonal style yet still exhibit flawed leadership behaviors.

What Types of Mistakes Do Leaders Tend To Make?

Most of the shortcomings and mistakes school administrators make fall into the category of poor human relations. Bulach, Boothe, and Pickett (1998) asked 375 Georgia educators who were enrolled in graduate programs to list and rank the types of mistakes their administrators made.

The following 15 categories of mistakes were identified:

1. poor human-relations skills
2. poor interpersonal-communication skills
3. a lack of vision
4. failure to lead
5. avoidance of conflict
6. lack of knowledge about instruction/curriculum
7. a control orientation
8. lack of ethics or character
9. forgetting what it is like to be a teacher
10. inconsistency
11. showing favoritism
12. failure to hold staff accountable
13. failure to follow through
14. snap judgments
15. interrupting instruction with public-address-system announcement

Mistakes that can be subsumed under the category of poor human-relations skills occurred most often, Bulach and his colleagues found. Lack of trust and an uncaring attitude were the two behaviors most frequently associated with this category of mistakes. These two behaviors tend to go together. That is, if a person perceives that the supervisor does not care, it is likely that trust will be absent. After all, why trust others when you believe they do not care about you?

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*Source: C. Bulach, W. Pickett, and D. Boothe, ERIC Digest 112, Educational Resources Information Center (ERIC) Clearinghouse on Educational Management, Eugene, Oregon, 1998.

Other mistakes associated with caring and trust were failure to give "warm fuzzies," failure to circulate with staff, staying distant, not calling teachers by their names, failure to delegate, and failure to compliment staff. Generally, administrators who display these shortcomings have a very strong "task orientation" as opposed to a "people orientation."

Principals who are abrasive, arrogant, aggressive, uncaring, and inattentive to the needs of others are far more likely to lose their jobs (Davis). Such characteristics impede the development of support among teachers, parents, and community agencies. These qualities are interpreted as a lack of savvy and people skills. Behavior of this nature leads to ineffective management of the diverse political demands of the job and failure to establish trust and confidence.

One final mistake in this category dealt with the inability to motivate staff. Teachers believe many administrators do not know how to motivate staff except through position, reward, and coercion. Leaders who attempt to motivate by exercising these forms of power tend to be task-oriented. This type of leadership behavior often results in low staff morale (Bulach and others).

Martin (1990) focused on mistakes of unsuccessful principals in Oregon. Seventy-three percent of responding superintendents had supervised a principal whom they had to release, transfer, or "counsel out" of the principalship. Reasons cited for a lack of success were avoidance of situations, lack of vision, poor administrative skills, and poor community relations.

In DeLuca and others' (1997) study, which collected data from 507 superintendents in Ohio, respondents were asked to assess the impact of 23 deficiencies. These areas were reduced by a factor analysis to a set of seven clusters. Significant negative relationships were found between maintaining one's position as a principal and deficiencies in the following clusters: problem solving/decision making, and delegating/monitoring.

According to Davis, the second most frequent reason principals lose their jobs is failure to make decisions and judgments that reflect a thorough understanding of school issues and problems.

What about Interpersonal Communication Skills?

In the study by Bulach and others, the second most frequently occurring mistake made by principals deals with a category of behavior labeled "poor interpersonal communication skills." The example most frequently given for this type of mistake was failure to listen. Doing paperwork in the presence of visitors and not maintaining eye contact were examples of behaviors illustrative of failure to listen. A perceived failure to listen is often interpreted by the speaker as a sign of not caring, whereas the perception that the receiver is listening is viewed by the speaker as a caring behavior.

These findings are supported by Davis, who asked California superintendents to rank the top five reasons why principals lost their jobs. Given a list of 21 at-risk leadership behaviors, the most frequently cited response focused on failure to communicate in ways that build positive relationships with parents, teachers, students, and colleagues.

Is Giving Feedback a Problem?

Bulach and colleagues found that ineffective principals had interpersonal communication problems in the areas of giving and receiving feedback. Examples offered by teachers were failure to provide feedback regarding the following:

- when supervisors visited teachers' rooms
- how teachers handled a fight
- how teachers handled a parent conference
- what type of discipline students received when sent to the office

On the receiving end, some supervisors reprimand teachers in front of their colleagues instead of doing it privately. Just as it can be detrimental to reprimand students in front of the whole class, it is also unprofessional for supervisors to reprimand teachers in front of their peers.

Can Leadership Training Programs Be Improved?

Interpersonal communication and human-relations skills are closely associated. Listening, caring, and trust are interrelated. Listening conveys a caring attitude, and caring is a building block for trust (Bulach 1993). The ability to build trust is an essential human-relations skill that facilitates interpersonal communication. Little attention, however, is given to these two areas in leadership preparation programs. Leadership assessments conducted at the State University of West Georgia's Professional Development Center revealed that the curriculum in the administrator preparation program in the Department of Education's Leadership and Foundations at the State University of West Georgia contained very little training in human-relations or interpersonal-relations skills. Since the assessment, a human-relations seminar has been developed to address this weakness in the training program (Bulach et al. 1998).

How Can Leaders Avoid Career-Ending Mistakes?

Data provided by teachers who participated in the study by Bulach and others (1998) send a clear message that school administrators are making mistakes that could be avoided if they were aware of them. Also, this study provides evidence that the overall climate of a school is affected by the number of mistakes an administrator makes. As stated by Patterson (1993), "We need to learn from the pain and pitfalls encountered on the road to success." Hagemann and Varga (1993) caution against sweeping mistakes under the rug. Instead, they emphasize the importance of admitting one's mistakes and moving on. Although acknowledging a poor decision is tough, the sooner it is done the better.

In closing, Davis offers the following six suggestions for avoiding career-ending mistakes:

1. evaluate and refine your interpersonal skills
2. understand how you perceive the world around you
3. don't let your past successes become failures
4. look for organizational indicators that your leadership may be faltering
5. be assertive in developing a professional growth plan
6. recognize the handwriting on the wall by making the first move

Resources

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COMMUNICATION SKILLS*

On average, leaders are engaged in one form or another of communication for about 70 percent of their waking moments. This digest provides suggestions for school leaders who want to increase the effectiveness of those interactions.

What One Skill Is Most Essential for Effective Communication?

"Seek first to understand, then to be understood," recommends Stephen Covey (1990). He, and many others, believe this precept is paramount in interpersonal relations. To interact effectively with anyone—teachers, students, community members, even family members—you need first to understand where the person is "coming from." Next to physical survival, Covey observes, "the greatest need of a human being is psychological survival—to be understood, to be affirmed, to be validated, to be appreciated." When you listen carefully to another person, you give that person "psychological air." Once that vital need is met, you can then focus on influencing or problem solving. The inverse is also true. School leaders who focus on communicating their own "rightness" become isolated and ineffectual, according to a compilation of studies by Karen Osterman (1993).

Good listeners don't interrupt, especially to correct mistakes or make points; don't judge; think before answering; face the speaker; are close enough to hear; watch nonverbal behavior; are aware of biases or values that distort what they hear; look for the feelings and basic assumptions underlying remarks; concentrate on what is being said; avoid rehearsing answers while the other person is talking; and don't insist on having the last word (Gemmet 1977). To master the art of listening,

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*Source: K. Irmsher, ERIC Digest 102, Educational Resources Information Center (ERIC) Clearinghouse on Educational Management, Eugene, Oregon, 1986.

Gemmet advises developing the attitude of wanting to listen, then the skills to help express that attitude.

What Are Some Other Skills of Effective Communicators?

- *Asking questions.* This is an excellent way to initiate communication because it shows other people that you are paying attention and interested in their response. Glaser and Biglan (1977) suggest the following:
  –Ask open-ended questions.
  –Ask focused questions that aren't too broad.
  –Ask for additional details, examples, impressions.
- *Giving Feedback.* There are several types of feedback: praise, paraphrasing, perception checking, describing behavior, and "I-messages. When giving feedback, according to Jung and associates (1973), it is useful to describe observed behaviors, as well as the reactions they caused. They offer these guidelines: the receiver should be ready to receive feedback; comments should describe, rather than interpret; and feedback should focus on recent events or actions that can be changed, but should not be used to try to force people to change.
  –*Praise.* One especially important kind of feedback for administrators is letting staff members know how well they are doing without anger or personal attack, and they accept criticism without becoming defensive.
  –*Paraphrasing.* Charles Jung and his colleagues stress that the real purpose of paraphrasing is not to clarify what the other person actually meant, but to show what it meant to you. This may mean restating the original statement in more specific terms, using an example, or restating it in more general terms.
  –*Perception Checking.* Perception checking is an effort to understand the feelings behind the words. One method is simply to describe your impressions of another person's feelings at a given time, avoiding any expression of approval or disapproval.
  –*Describing Behavior.* Useful behavior description, according to Jung and his associates, reports specific, observable actions without value judgments, and without making accusations or generalizations about motives, attitudes, or personality traits. "You've disagreed with almost everything he's said" is preferable to "You're being stubborn."

What's a Nonthreatening Method of Requesting Behavior Change?

"I-messages" reflect one's own views and rely on description rather than criticism, blame, or prescription. The message is less likely to prompt defensive reactions and more likely to be heard by the recipient. One form of "I-messages" includes the following three elements:

1. the problem or situation
2. your feelings about the issue
3. the reason for the concern. A good example would be, "When you miss staff meetings, I get concerned that we're making plans without your input."

For expressing feelings, Jung and colleagues recommend a simpler form. You can refer directly to feelings ("I'm angry"), use similes ("I feel like a fish out of water"), or describe what you'd like to do ("I'd like to leave the room now").

How Can Individuals Improve the Nonverbal Components of Their Communications?

Whether you're communicating with one person or a group, nonverbal messages play an important role. Kristen Amundson (1993) notes that one study found 93 percent of a message is sent nonverbally, and only 7 percent through what is said. Doreen S. Geddes (1995) offers the following pointers:

- *Body orientation.* To indicate you like and respect people, face them when interacting.
- *Posture.* Good posture is associated with confidence and enthusiasm. It indicates our degree of tenseness or relaxation. Observing the posture of others provides clues to their feelings.
- *Facial expression.* Notice facial expressions. Some people mask emotions by not using facial expression; others exaggerate facial expression to belie their real feelings. If you sense contradictions in verbal and nonverbal messages, gently probe deeper.
- *Eye contact.* Frequent eye contact communicates interest and confidence. Avoidance communicates the opposite.
- *Use of space.* The less distance, the more intimate and informal the relationship. Staying behind your desk when someone comes to visit gives the impression that you are unapproachable.
- *Personal appearance.* People tend to show more respect and respond more positively to individuals who are well-dressed, but not overdressed.

How Can School Leaders Enhance Interpersonal Relationships with Colleagues and Constituents?

Vision, humor, accessibility, team-building skills, and genuine praise all can help to create a positive emotional climate.

- *Having a vision.* Allan Vann (1994) notes that "principals earn staff respect by articulating a clear vision of their school's mission, and working collegially to accomplish agreed-on goals and objectives." This process should begin before school starts, and be reinforced throughout the school year.
- *Removing barriers.* Communication barriers can deplete team energy and isolate individuals who may then proceed on the basis of faulty assumptions. Meetings and various inhouse communiqués, combined with private discussions, can remove interpersonal barriers before they become larger problems.
- *Giving praise.* Communication experts recommend using sincere praise whenever possible to create a more constructive atmosphere. An indirect way of giving praise is through telling others stories about people at your school who are doing remarkable things.
- *Being accessible.* It is important to be available and welcome personal contact with others. Informal meetings are as important as formal ones. Ask people about their families and call them by their first names. An administrator who takes the time to get to know the staff will be able to identify, develop, and make best use of each staff member's capabilities.
- *Building teamwork.* When schools move toward site-based management, open communication becomes even more essential. A sense of teamwork can be nurtured through an earnest effort to help each staff member achieve his or her potential.

- *Using humor.* Various researchers indicate humor is the seventh sense necessary for effective school leadership. Results of a study by Patricia Pierson and Paul Bredeson (1993) suggest that principals use humor for four major purposes:
  1. creating and improving school climate
  2. relating to teachers the principal's understanding of the complexities and demands of their professional worklife
  3. breaking down the rigidity of bureaucratic structures by humanizing and personalizing interpersonal communications
  4. when appropriate, delivering sanctions and other necessary unpleasantries.

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INCENTIVES

PERFORMANCE CONTRACTS FOR ADMINISTRATORS*

In the business world, CEOs are often paid on the basis of their performance—a bonus if profits increase, a decrease for flagging financial results. Increasingly, school districts are adopting or contemplating the use of performance contracts (also known as pay-for-performance) as a way of holding administrators accountable. Although school administrators have always been held accountable for their performance, the practice of linking pay to indicators such as student achievement has been rare. However, pay-for-performance is now in place in many districts nationwide.

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*Source: E. Hertling, ERIC Digest 127, Educational Resources Information Center (ERIC) Clearinghouse on Educational Management, Eugene, Oregon, 1999.

The increased interest in performance contracts coincides with demands for greater accountability. This pressure is coupled with an increased emphasis in state and national school reform on concrete results of progress such as student achievement (Graves 1995). For some superintendents, putting their salary on the line is one way to demonstrate that they are taking their job seriously. Tying pay to performance makes the issue of accountability more palpable, some suggest.

What Are Performance Contracts?

Performance contracts are agreements between an administrator (predominantly superintendents) and the school board that link the administrator's pay to indicators of job performance. Most commonly, performance contracts include bonuses for a job well done, and, less often, salary decreases for poor performance. The American School Board Journal and George Mason University conducted a nationwide survey of superintendents and school board members on the issue of performance contracts. Survey results revealed that while the majority of respondents (67 percent of board members and 63 percent of superintendents) believed superintendents' salaries should increase with improved district performance, only 44 percent of board members and 34 percent of superintendents believed there should be a decrease in salary for poor performance (Bushweller 1997).

Philadelphia Superintendent David W. Hornbeck is one administrator who requested that his pay be linked to his performance, as well as to the performance of the district's 217,000 students. Half of Hornbeck's evaluation is based on student test scores and the other half is based on an examination of factors such as improving school attendance and graduation rates and increasing the number of students who have health insurance. If Hornbeck meets his goals, he earns a bonus of up to 10 percent of his base pay. However, if the district's performance is unimpressive, then Hornbeck could face a reduction in salary of up to 5 percent (Bushweller). Hornbeck's performance contract is just one example out of many diverse and highly individualized contracts.

What Indicators Should Be Used To Evaluate Administrators' Performance?

Even among supporters of performance contracts, there is little consensus regarding what indicators should be used in administrator evaluations. Although student test scores are the most commonly used indicator, they are also the most controversial.

Those that support the inclusion of student achievement in performance contracts argue that improved student performance is the goal of every superintendent, as well as a high priority among parents and the public. Using test scores as an indicator of performance, supporters contend, will result in increased attention to student achievement and will organize schools around helping students achieve standards (Graves).

Others disagree, characterizing test scores as biased. "Test scores can be manipulated in lots of ways," according to Bill Graham, Palm Beach County school board member. "It's an oversimplified measure" (Bushweller).

Some argue that when student performance is linked to pay, superintendents will place undue pressure on teachers to "teach to the test" and ignore or give cursory attention to material not covered on the exam (Bushweller). Similarly, other critics contend that use of student test scores as an indicator creates the danger that administrators will be less attentive to other issues affecting the school district (Graves). Many believe that if student test scores are included as a measure of superintendent performance, they should not be the sole indicator. Other performance indicators may include demonstrating budgetary acuity, improving school safety, offering staff development opportunities, designing a challenging curriculum, maximizing parent and community involvement in schools, and improving student attendance and graduation rates.

Why Are Administrators Offered Performance Contracts?

Should a superintendent's salary be tied to the district's performance? This question fuels considerable controversy. Many believe superintendents should not take the credit—or the blame—for work that is the result of the efforts of many people. Others assert that administrators strongly influence the performance of the district as a whole (Bushweller).

Some ask, "Why are administrators typically offered performance contracts even though teachers and other staff members are not?" The demanding nature of the superintendent's role—long hours, ever-changing demands, endless challenges and problems—is cited as part of the rationale (Lafee 1999). In addition, pay-for-performance contracts help in the recruitment and retention of talented professionals at a time when the pool of qualified candidates is small, and effective leaders are aggressively recruited to work in the private sector as CEOs of educational organizations (Freeston 1999, Johnson 1998).

Some perceive establishing performance contracts for administrators as the first step toward creating a performance-based pay system for all employees. Superintendents are just setting the example, and paving the way for principals and teachers (Graves).

However, many are concerned that performance contracts could unfairly hold administrators accountable for factors beyond their control. "Administrators cannot fully control the complex web of factors—such as teacher quality, home support, parental involvement, class size—that affects learning," Graves points out. Murray and Murray (1999) argue that superintendents are not granted tenure and should be given more job security, not added pressures. They state, "Our future educational systems cannot afford to be led by administrators who are afraid for their jobs."

What Are the Potential Benefits of Performance Contracts?

Supporters believe that pay-for-performance contracts create a set of clearly defined goals for the district to focus on. Instead of blindly embracing one reform after another, districts can concentrate their efforts on improving specific issues. "Performance incentives set the destination and provide educators with a road map to get there," state Murphy and Pimentel (1996).

An additional potential benefit of performance contracts is a detailed, feedback-oriented evaluation system. The standard checklist evaluation is unsatisfactory and the system of pay unfair, Murphy and Pimentel argue. "Staff members . . . get raises for the passage of time, for acquiring extra degrees . . . . Job performance is irrelevant." In contrast, performance contracts provide a detailed system of evaluation that rewards administrators for accomplishing goals (Murphy and Pimentel).

Paige, Sclafani, and Jimenez (1998) address another dimension that is sometimes integrated into performance contracts. Performance contracts in the Houston Independent School District allow the school board to buy out the remainder of a superintendent's contract if his or her job performance is unsatisfactory. This can save the district considerable time and money that would be involved in traditional dismissal.

Other supporters contend that performance contracts are not really about money, but are instead a symbolic demonstration of accountability. Most superintendents and board members agree that performance bonuses should be capped below 10 percent of the base salary. According to Philadelphia Superintendent Hornbeck, "It's not the money for me . . . . [Pay-for-performance] is a symbol that we're deeply committed to a hard-edged accountability system that will hold my feet up to the fire" (Bushweller). Performance contracts are viewed by some as a way to establish a new performance-based culture in education that rewards improvement and innovation (Lafee).

What Do the Critics Say about Performance Contracts?

Along with the potential benefits of pay-for-performance contracts come potential problems. Some worry that administrators will not be given the resources necessary to achieve their goals (Richardson 1994). Murphy and Pimentel caution that performance contracts should provide administrators with a support system that gives them a chance to improve before their salary is reduced. They argue that a performance contract should provide resources and support as well as assessments and standards. Failing to do so, they contend, is "like taking the temperature of a sick patient on a regular basis and never providing treatment. It becomes all diagnosis and no cure" (Murphy and Pimentel).

Other critics argue that if it takes the lure of a larger paycheck to motivate a superintendent to improve job performance, then perhaps the real problem cannot be solved by a contract. Ken Baird, a trustee with the Hanford (California) Elementary School District, argues that if performance contracts are necessary to improve district and student performance, then the superintendent either has misplaced values and is not focused on student welfare, or is not being paid enough in the first place (Lafee).

The American School Board Journal and George Mason University survey found that 62 percent of superintendents do not believe that pay-for-performance contracts will help improve student achievement—the main indicator that many contracts focus on (Bushweller). After all, opponents argue, superintendents are not directly involved with teaching.

There are potential morale problems involved with performance contracts. Some believe rewarding superintendents for better test scores sends the wrong message to teachers and principals who are involved in the "front-line work" (Lafee). In addition, some fear that superintendents, to enhance their own performance, could place "unreasonable" pressure on teachers and principals.

Clearly, the issue of performance contracts for administrators is controversial. Gray and Brown (1989) argue that "in many ways, the education system is most appropriate as an institutional measure of how effective pay for performance can be." However, no one model of performance contracts can guarantee that districts will produce results. Instead, school boards and superintendents must work together to produce a contract that not only defines the district's priorities, but offers the necessary support to complete the job.

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Chapter 3

School Improvement

INSTRUCTIONAL LEADERSHIP

THE PRINCIPAL AS CHIEF LEARNING OFFICER: THE NEW WORK OF FORMATIVE LEADERSHIP*

In the information economy, most successful organizations must be knowledge-based, value-added enterprises. Such an environment requires schools to be true learning organizations where students are engaged in challenging and interesting academic work and where teachers and administrators are collaboratively involved in learning about the most effective instructional strategies and technologies.

In this world of knowledge-based organizations, leaders will do their work by enhancing the quality of thinking of those within the organization rather than by issuing edicts or directives. In order to do that, they will have to create learning opportunities that enable the faculty and staff to become leaders capable of anticipating and leading productive change.

Creating an organizational culture and infrastructure that supports leadership possibilities for everyone—a "leader-full" organization—requires an altogether different and new set of leadership skills. The traditional leadership mindset, still prevalent in many schools, centers around control and top-down direction. "Doing things right" is often more highly valued than "doing the right thing." Maintaining the status quo, however, even when performed efficiently, is of little benefit when faced with the ambiguity, uncertainty, and change faced by today's schools.

In the twenty-first century, with the continuing development of the information-based global economy and industry's increasing need for high-performance employees, intellectual capital will be the most critical resource in our state and in our nation. This means that those states that do the best job of educating all children are likely to enjoy the highest levels of economic success. Our challenge, therefore, is to ensure that all children reach the levels of academic achievement once expected of only a few. Our problem, however, is that we are entering the twenty-first century with schools and instructional methods designed in the nineteenth century.

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*Courtesy of Dr. Ruth Ash, Dean, and Dr. Maurice Persall, Director of Graduate Programs, Orlean Bullard Beason School of Education and Professional Studies, Samford University, Birmingham, Alabama.

Many of today's schools are not organized to effectively support and encourage learning. Our existing administrative structures (often organized in a bureaucratic and hierarchical configuration), our value systems, and our professional training programs are often in conflict with the kind of systemic change that the times demand. Teachers are isolated, without opportunities to collaboratively solve problems, share information, learn together, and plan for improving student achievement. Too often, children are not provided with work that is engaging, that meets high academic standards, and that is challenging and satisfying. Time is not always utilized effectively, and technologies that could enhance teaching and learning are either not available or not fully utilized. And our educational leadership preparation programs have not prepared their graduates to identify, address, and resolve these issues.

Under our current paradigm, some students learn successfully, some make varying degrees of progress, and some fail. Now, however, it is crucial that all children acquire the knowledge and skills they need to be successful. This requires a transformation in our thinking about teaching and learning. Student learning must now become the focus of our educational efforts, and school leaders must have the ability to create systemic change and pursue ever-higher levels of student achievement. To be effective instructional leaders, school administrators and faculty must think in new patterns and act within new models.

The schools of yesterday and today are not the kind of schools we need for tomorrow. We need new strategies, new processes, and a new mindset. In effect, we need a new paradigm of instructional leadership. Schools need to be organized around, and focus on, the work of students rather than the work of the adults in the school. All rules, regulations, roles, and work processes in the school should be designed to support and enhance the faculty's ability to design quality learning experiences for all students.

Joel Barker (1992) has defined a paradigm as "a set of rules and regulations that establish boundaries and tell us what to do to be successful within those boundaries." A paradigm is also a set of shared assumptions that control the way we see the world. A new paradigm then requires a new set of assumptions, a new way of Thinking About Instructional Leadership.

Formative Leadership

Formative Leadership Theory, developed by the authors, is based on the belief that there are numerous leadership possibilities and many leaders within the school. Leadership is not role-specific, reserved only for administrators; rather the job of the school leader is to fashion learning opportunities for the faculty and staff in order that they might develop into productive leaders. This theory of leadership supports our view of the teacher as leader and the principal as the leader of leaders. It is grounded in the belief that educators should enhance not only student learning but also the learning of the adults within the school.

Formative Leadership Principles

The formative leader must possess a high level of facilitation skills because team inquiry and learning and collaborative problem solving are essential ingredients of this leadership approach. Imagining future possibilities; examining shared beliefs; asking questions; collecting, analyzing, and interpreting data; and engaging the faculty in meaningful conversation about teaching and learning are all formative leadership behaviors. The following ten new Formative Leadership Principles support a new paradigm for quality leadership:

1. Team learning, productive thinking, and collaborative problem solving should replace control mechanisms, top-down decision making, and enforcement of conformity.
2. Teachers should be viewed as leaders and school principals as leaders of leaders. Leaders must be viewed as asking the right kinds of questions rather than knowing all the answers.
3. Trust should drive our working relationships. Leaders must not assume that the faculty, staff, and students will try their best to do their worst. The leader's job is to drive out fear.
4. Leaders should move from demanding conformity and compliance to encouraging and supporting innovation and creativity.
5. Leaders should focus on people and processes, rather than on paperwork and administrative minutia. Time should be spent on value-added activities.
6. Leaders should be customer-focused and servant-based. Faculty and staff are the direct customers of the principal, and the most important function of the principal is to serve his or her customers.
7. Leaders should create networks that foster two-way communication rather than channels that direct the flow of information in only one direction.
8. Formative Leadership requires proximity, visibility, and being close to the customer. Leaders should wander about the school and the surrounding community, listening and learning, asking questions, building relationships, and identifying possibilities.
9. Formative Leadership is empowering the people within the school to do the work and then protecting them from unwarranted outside interference.
10. Formative Leadership requires the ability to operate in an environment of uncertainty, constantly learning how to exploit systemic change, rather than maintaining the status quo.

The Principal As Chief Learning Officer of the School

Business organizations have a chief executive officer, a chief financial officer, and a chief information officer, among other titles. In the school of the future, we need a chief learning officer. Instructional leaders of the future must be open to new learning even when that learning challenges their strongly held beliefs. They must model the behaviors they want to see in others—talking about teaching and learning, attending seminars, reading constantly, and encouraging the faculty to do the same. Being the chief learning officer requires building a culture of innovation, where everyone is involved in action research and constantly collecting, analyzing, and interpreting data for continuous improvement.

As the new work of the formative leaders is different, so too are the required skills. The chief learning officer must help the faculty and staff overcome their fear of failure and grapple with the difficult problems, rather than only with the easy issues. Ironically, it is in school where we initially learn to avoid difficult learning. It is part of the reward system of the classroom. Those students who know the answer are rewarded by good grades and by the teacher's approval and praise. Those who do not know the answer stay silent, avoid the teacher, and hope that no one notices that they do not know the answer. This lesson, learned early in life, stays with us into adulthood, where we are rewarded for what we know rather than for being open to what we have yet to learn.

New models of instructional leadership are more important now than ever before in this state. With some schools already classified as "alert" or "caution" due to academic deficiencies, with more stringent graduation requirements, and with a more difficult graduation exam coming on line, school principals no longer have the luxury of leaving instructional matters to others.

Asking the Right Questions

Instructional leadership needs to focus more on the learning opportunities provided students and on the work students do, and less on the teaching process and the work teachers do. By shifting the focus, we can also change the leadership dynamics. Direct supervision of the work of the teacher, although still a necessary part of the instructional improvement process, is of less importance than working collaboratively with teachers in scheduling, and leading students in academic work. The skills of observing, evaluating, and directing (a leadership style that might be characterized as interrogative rather than declarative) need to be supplemented with the skills of listening, questioning, probing, and guiding.

To be successful, the instructional leader must become adept at managing by wandering around (MBWA), which is really the art and practice of listening and learning. It is the quintessential practice for building relationships and establishing trust.

MBWA gets the leader out of the office, increasing visibility and contact with the people doing the work, the students and the staff. Leaders can begin the process by implementing the following four MBWA steps:

1. Engage in face-to-face contact with your customers. The principal's direct customer is the faculty. Instructional leadership begins with spending time—lots of it—with teachers, in and out of classrooms, engaged in conversation about teaching and learning.
2. Create opportunities to solicit undistorted opinions. Tom Peters refers to naive listening, that is listening with an open mind rather than entering a conversation with a predetermined position.
3. Act quickly on what you hear. Quick responses and prompt action will encourage trust and provide broader opportunities for future listening and learning.
4. Probe under the surface by asking penetrating questions. To really understand, you must penetrate the natural reluctance of people to "really level" with you. This is the only way to bring the unmentionables found in every organization to the surface. What kinds of questions should the instructional leader ask? How do you lead conversations with faculty that focus on creat-

ing better learning opportunities for students? The following suggestions offer a point of departure:

- What do we really believe about how students learn?
- How well are we providing challenging, interesting work for students?
- How many of our students are actively engaged on a regular basis?
- What evidence, other than standardized test data, do we have about how well our students are learning what we want them to learn?
- What are the major barriers to learning that are most difficult for us to deal with?
- What do we need, that we do not currently have, to be more effective teachers?
- What do students need to know and be able to do when they leave our school?
- How can we better integrate existing technology into the curriculum?
- How can we better protect teaching and learning time? How can we reduce nonteaching duties?
- What additional data do we need in order to more effectively understand our students?

Asking these, and similar questions, should lead to broader conversations with individuals and small groups, as well as with the entire faculty. The ultimate objective is to improve the level and degree of productive thinking of the adults in the school. The effective instructional leader must get out of the office, mix and mingle with staff, students, parents, and other community members; and lead or participate in conversations about improving the learning opportunities provided students.

Analyzing and Interpreting Data

School improvement efforts are most successful when they are based on research and when the decision-making process is data driven. The quality education process is effective only when teams find the root cause of problems. It is the responsibility of the Leadership Team to collect and analyze data in order to identify trends. These trend data are then used to assist with the identification of problems and support the need for improvement.

The following is a representative listing of some of the data elements that Leadership Teams should collect, analyze, and disseminate to all stakeholders in the form of a school profile:

- standardized test scores
- attendance and tardies
- discipline referrals
- percentage of failing grades
- percentage of students on A/B honor roll
- percentage of students in extra-curricular activities
- number of students receiving awards
- social worker contacts
- library circulation rate
- number in advanced diploma and advanced placement classes
- number and percent retained
- number and percent in remediation/summer school

- number and percent suspended
- counselor contacts
- graduation rate
- percent of graduates with specific post high school plans
- graduate follow-ups
- drop-out rate
- percent involved in academic competition

The Leadership Team uses the school profile in identifying the school's strengths, weaknesses, opportunities, and threats. Input from the grade level/departmental teams is used extensively in this process.

Creating scenarios, examining the school's belief system, and asking the right questions, must be augmented by the collection, analysis, and interpretation of data. School faculties are flooded with data. Instructional leaders must assist faculty teams in turning data into information and disseminating the information to everyone throughout the school.

Data provide the rationale for making decisions. To learn something, you must first have enough information to understand it. In the quality education process, quality tools provide a mechanism for collecting and analyzing data to provide valid information. That information, then, is used for working on the system, which, according to Deming, is the most important function of leadership. To achieve the status of a learning organization, individuals and teams must constantly examine every operating process. Data collection must be systematic and ongoing to support learning and continuous improvement.

Faculty teams should adhere to the following criteria when collecting and analyzing data:

- The data must be timely and useful. Avoid collecting information that has little or no bearing on the problem.
- Focus on the critical success elements that are measurable, such as the key performance indicators.
- Summarize data in a form that is useful and useable by the team.
- Share data with everyone in the school.
- Use data only to improve school processes. Information should never be used to threaten or blame.
- Establish data collection and utilization ground rules before undertaking the task of data collection.
- Collect and use data that answer questions that are important to the team.

Leading the Faculty in Conversations

Emerging leadership theory places considerable emphasis on the power of conversation in driving improvement. School faculties typically engage in numerous daily conversations, in small groups and one-on-one, about all kinds of issues and concerns. The challenge for the instructional leader is to provide new information, to provide opportunities for collaborative planning and problem solving, and to lead the faculty in seeking to understand each other and in making sense of what schooling is all about. Leading faculty talk about beliefs, vision, mission, student work, and student outcome is a powerful tool for improving teaching and learning in the school. Ideas and information are the basic tools for creating a school full of leaders who elicit the best from their colleagues and students alike.

Schools face enormous social and economic problems. Many students come to school bringing the accumulated baggage of a society that does not provide nearly well enough for its children. The demand to do better with less in an unfriendly political climate requires that school faculty and staff work smarter. Working smarter simply means that the individual talents of everyone in the school must be maximized for the collective benefit of the school and its customers. Productive teams engaged in collaborative, data-driven problem solving may provide the needed impetus for working smarter and, thereby, improving the teaching and learning process in the school.

Strategies for Promoting Innovation

Positive school change is neither top-down nor bottom-up. It is, instead, interactive and participative at every grade and departmental level. It involves both leadership and followership operating at a high degree of effectiveness and working within the school's shared belief system. Innovative practice does not just happen. It requires creation of a climate of trust, support, and encouragement along with sensitivity to the fact that change is most often accompanied by fear. According to Deming, the enemy of innovation and improvement is fear and must be eliminated by building self-confidence through training and empowerment.

Time and attention should be devoted to the following strategies designed to create both a climate of support, and a capacity for implementation of innovative practice:

- Challenge grade/departmental level teams to study, plan, and implement at least one innovative practice each year. Provide numerous opportunities for the teams to share with the entire faculty.
- Provide in-service training in the area of understanding and managing the change process.
- Create an action team to explore the feasibility of implementing an innovation.
- Remove barriers that might serve to stifle creativity. Review rules and regulations that may hinder rather than help innovative practice.
- Reduce isolation of the staff members in the school and improve communication. Listening and talking are two of the most powerful tools available for building a learning organization.
- Seek out, recognize, and celebrate the innovators.
- Recognize, reward, and celebrate the failures as well as the successes. In the learning organization, failure is viewed as an opportunity to learn, not an occasion to place blame.
- Benchmark "best practices" in organizations other than schools. Some of the most effective learning occurs when we observe, question, and inquire about the successes of business, religious, civic, and governmental organizations.
- Create an expectation that all innovations will be evaluated. Establish measurable key performance indicators for each innovative project.
- Encourage individual teachers to "try" something new and different, to engage in action research in their classrooms.

Optimizing the Talents of All Personnel

"The need for involvement and flexibility has an obvious corollary: train and retrain. We must train everyone in problem solving techniques to contribute to quality improvement," says Tom Peters in *Thriving on Chaos* (1987).

Creating a learning organization raises expectations for teacher and student performance. It involves changing the culture and increasing the individual and collective capability of the faculty and staff. This can best be achieved by rethinking the school's approach to professional staff development. Too often professional development activities are imposed by the central office with little regard for the individual needs and goals of the schools, with programs of questionable quality, and with little consideration of the learning styles of adults. Most programs also lack consistent follow-up and coaching. The importance of effective staff development is magnified substantially when schools embark on site-based, collaborative decision making.

The need for increased expertise immediately expands from learning new concepts that improve teaching and learning to include learning how to be a productive "player" in team problem solving. To support these emerging needs, the National Staff Development Council recommends the following strategies for designing effective staff development programs:

- Effective professional development needs commitment from all parties.
- All improvement needs to be continuous, not a one-shot effort.
- Structures must be aligned with professional development goals.
- A variety of approaches must be used.
- Planning must be participatory.
- Professional development should be student focused, data driven, and results oriented.
- The content of the staff development program must have proven value.
- Professional development needs to be localized.
- Content of staff development must be tailored to build upon earlier improvements.

"Imagine an organization in which everyone from top to bottom is either actually or potentially learning for the improvement of the organization," says Peter Kline and Bernard Saunders in *Ten Steps to a Learning Organization* (1993).

Few organizations isolate the adults from each other in the organization to the extent found in schools. This isolation is a major barrier to implementing the quality process and to achieving a learning organization. Adults talking together about professional issues is a powerful tool for learning. Reducing the isolation of faculty and staff becomes, then, a major concern of the administration and leadership teams. A second concern is to create opportunities for faculty and staff to engage in learning activities that are designed with a full understanding of, and an appreciation for, adult learning theory.

Anticipating the Future: Using Scenarios To Drive Strategic Thinking

"Many years ago I asked an executive responsible for the future development of a very large corporation, 'What do you worry about most on your job?"' His answer was startling. 'I worry most about what my people don't know they don't know.

What they know they don't know, they're able to work on and find the answer to. But they can't do that if they don't know that they don't know'," says Stanley Davis, in *2001 Management* (1992).

We live in a world increasingly shaken by sudden change. Uncertainty threatens the future so that our plans are not consistent with, or useful within, the context of real events. Constant change requires a different approach to planning, something more flexible and fluid than the traditional strategic plan. It requires a new meaning for strategy, one that encompasses planning as learning, asking "what if" questions, and considering multiple futures. Predetermined answers and plans "set in stone" are of little value in the face of the unknown, but to simply wait for the unknown to happen is even more dangerous. Organizations have to move from strategy as a fixed plan to a learning process that leads to continuous improvement and develops the organization's ability to cope with changes in its environment. Scenarios are one way an organization can think about the future and anticipate both opportunities and threats.

Scenarios are distinctly structured views of the future that are plausible enough to cause teams to look outward and be more introspective—in other words, to learn. Through this process, multiple futures can be constructed, each one requiring a different approach and a different set of assumptions. In short, strategic thinking creates a vision that can be modified at every turn of events, yet still allows progress toward the organization's goals.

Constructing Alternative Futures

Constructing different views of the future and finding ways to make such work useful is more difficult than one might assume. It requires a new and different mindset. A mindset is the pattern of perceptions we hold about our environment, perceptions that are rooted in and find strength from our belief system. Thus, prevailing mindsets are very hard to change. A wide variety of perspectives must be collected from outside the organization's culture as well as from within it. From these perspectives, logic must be combined with imagination to create "stories of the future." Two approaches are useful in producing such stories: predictions of the future and scenario planning.

Predicting the Future

The effective instructional leader must be aware of emerging trends in society in order to structure curricular and instructional strategies that will properly prepare students to live successfully in a highly complex, global information age. Instructional leaders need to draw upon wide-ranging information from many sources in order to avoid the "tunnel vision" that often occurs when we fail to see the interconnections with other fields of knowledge.

In today's environment, however, producing effective change requires an altogether new and different set of skills. Listening, asking questions, engaging faculty and staff in conversation about teaching and learning, collecting and analyzing data, and benchmarking promising practice are replacing top-down driven directives, traditional models of supervision, and the expectation that the leader has all the answers. These new role expectations provide new opportunities for leadership to emerge from the teaching ranks. Changing demographics and the rigors of preparing students for the twenty-first century require that we rethink what we teach, how we teach, and how we assess student and teacher performance. These changes will have to be made at the classroom level by teacher leaders capable of restructuring the educational process.

Embracing Change

True learning organizations support innovation and change. Change, however, depends on people, on administrators, faculty, and staff of schools. Faculty and staff in the quality school take personal responsibility for making it easier for their school to improve and change and for communicating change effectively to others. In the quality school, personnel recognize and take advantage of the opportunities produced by change.

Leaders in the quality school must help personnel become comfortable with change. Without a high level of comfort and ease, resistance to change will significantly impede improvement efforts. But as the comfort level of personnel increases, improvements increase, the school's reputation grows, and change accelerates.

Promoting and Encouraging Change

"To meet the demands of the fast-changing competitive scene, we must simply learn to love change as much as we have hated it in the past," says Tom Peters (*Thriving on Chaos*).

Nothing defines a school's ability to serve its customers quite like its propensity for innovation. The school's orientation to change is embedded in its culture and is reflected in the collective mindset of the faculty and staff. If the school aspires to become a learning organization, it must commit to continuous improvement through experimentation or action research. Action research involves implementation of innovative practices coupled with an assessment of those practices on student learning.

Establishing a climate of trust, eliminating the fear of failure, and encouraging innovation is a role that the administrative staff must assume. In the final analysis, it may well be the most important role impacting on the school's success. All organizations, and individuals as well, resist change. In order to overcome the natural barriers to the change process, leaders should concentrate on creating a culture that reduces the fear of change and designing the organizational processes that promote innovative practice.

Creating Opportunities for Team Learning

"There has never been a greater need for mastering team learning in organizations than there is today. Teams of people, who need one another to act, are becoming the key learning unit in organizations," says Peter M. Senge in *The Fifth Discipline* (1990).

The concept that groups of people working together can be more productive than individuals working alone is receiving recognition as a critical element in most enterprises. Businesses competing in a global, information-based economy measure success largely on the collective brain power of their human resources. Team learning and collaborative problem solving provide the most effective and efficient vehicles for realizing maximum benefit from the people within the organization. Schools realize an additional benefit by utilizing the team concept to reduce the isolation of teachers from each other, a phenomenon that contributes to the dysfunctional organizational climate found in many schools.

Teams may be defined as groups of people who need or depend on each other to solve problems and/or accomplish results. Teams form the vehicle for successful implementation of the quality process, but in order for teams to function, the organizational culture must be receptive and supportive. All the basic tenets of the quality process are necessary to create a climate for effective teaming. Leading a school through a team configuration requires that the following elements exist:

- *Total involvement.* Every person in the school, professional and support staff alike, must be involved and must view the team structure as the best way to solve problems, increase learning, and bring about continuous improvement.
- *Customer focus.* Teams perform the important work of serving customers by identifying and breaking down barriers to successful performance.
- *Appreciation of the value of diversity.* The school values creativity and understands that people with different skills, ways of thinking, and views toward solving problems add to the richness of the team's learning and ultimately to the efficiency of the problem solving.
- *Sharing information.* An atmosphere of openness, candor, and trust is exhibited through the sharing of information with the team. Effective decisions are rarely made in the absence of relevant information.
- *Listening.* Leaders who have accepted the new paradigm of organizational behaviors that revolve around listening, facilitating dialogue and discussion, and collaborative decision making are creating the kind of climate that allows teams to arrive at more creative solutions.
- *Scorekeeping.* Measuring the team's success, as demonstrated by key performance indicators, helps keep the team focused, provides a higher level of individual satisfaction, and improves the overall performance of the team.
- *Continuous improvement.* The quality mindset does not recognize an end to improvement. The concept requires the school to embrace a never-ending quest for improving service to the customer.
- *Empowerment.* The quality school recognizes the value of people and trusts the staff to make good decisions if given the right information and the authority to make changes.
- *Adding value.* In the school environment, this means working to improve the teaching and learning process. It involves identifying and removing barriers to learning, and improving opportunities for everyone, including students, faculty, and staff, to increase their success levels.
- *Recognition.* Recognizing and rewarding behaviors that are valued throughout the school and community serve to motivate the team to better performance.

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STAFF DEVELOPMENT

HIRING NEW TEACHERS: A CASE STUDY*

As each spring approaches, principals and other administrators are reminded that spring is the harbinger of hiring dread. Most educational practitioners realize that one of the most important keys to a principal's success is hiring the right teachers. Researchers list things like instructional leadership, communication, managing change, increasing parental involvement, synthesis of school culture, and being visionary as key ingredients to a principal's success. Based upon our experience, one of the keys to a principal's success in the twenty-first century will be hiring new teachers who are competent, caring, and who project the values and beliefs that the school community deems important. A critical part of the principal's role today must be to hire faculty that will enhance the school's culture and help the school to achieve its mission and beliefs. Another factor that adds to the importance of a comprehensive hiring procedure is that many colleges are still preparing teachers to teach the students of the 1950s rather than imparting the skills for teachers to prepare students for the twenty-first century. Many teacher education programs have not adapted to the changing needs of K–12 education, and as a result many graduates are ill-equipped to be successful in their first teaching job.

Why is hiring so critical? Over the last several years many schools have experienced a gentrification of their faculties. Many of the teachers currently employed entered the profession in the 1960s, and consequently, are approaching retirement. During the 1980s, many students in teacher education programs were unable to find jobs and sought employment in other fields. This shortage of young teachers that we experienced in the 1980s helped to create a situation where the average age of faculties has steadily gone up, and we now face a crisis as our teachers retire. Some of this is being sped up by early retirement incentives offered in many states by many boards of education. Therefore, over the next several years, principals will be hiring large numbers of teachers to replace these retirees. The number of teachers and administrators retiring during the first decade of the twenty-first century will be astronomical. This will result in inexperienced administrators facing the task of retooling their faculties. These newer principals will need more support from central administrators and others to ensure they make sound hiring decisions.

The changes that are taking place in education and the school improvement efforts mandated by many states make it imperative that schools have innovative, creative, and talented teachers to participate in the change efforts. It is of critical importance to hire the right teachers to keep the good ship afloat.

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*Courtesy of Dr. Harold N. London, Principal, Ridgewood High School, Norridge, Illinois and Allen Schau, Superintendent, Ridgewood High School District 234, Norridge, Illinois.

Deal and Peterson (1991), in their case studies of five different schools, found six common practices that were shared by all of the schools. One of those was selecting staff whose values fit well with the values of the principal and school. Rosenholtz (1991), in her study of eight Tennessee school districts, found shared goals between the faculty and principal, and the principal's use of his or her position to enhance the climate of professionalism in the school, to be major factors in the perceptions of instructional leadership by the principal. The findings of both authors indicate the importance of hiring the "right" people to fit the culture of the school.

Principals should consider a procedure that has worked well for the authors during the last eight years at Ridgewood High School in Norridge. In July 1993, the Ridgewood Board of Education hired a new superintendent and a new principal. When we began our new jobs, we discussed many ideas and planned our course. One of the things we discussed was a procedure for hiring new teachers. We looked at the profile of our faculty and realized that the average age was well over 50, with many of those teachers having spent their entire careers at Ridgewood. Due to the unique situation we faced when our district and school opened in 1960 and grew rapidly only to face serious declines in enrollment in the 1980s, we were ahead of the curve in having to develop a system to deal with this gentrification of our faculty. Our experience may help others who will face this situation in the future. These circumstances implied that hiring replacements for educators as they retired en masse would determine a great deal about our school's future culture, student performance, and our ability to be effective instructional leaders. We decided to use a comprehensive process that would include writing samples and the opportunity to teach a lesson. We felt that the time spent initially would save time later when some of the new teachers might need to be released, if we followed a traditional process.

The process that we decided to use was one where we would follow a multiphased selection process. In selecting new teachers, we go through the following four stages:

1. paper screening of credentials
2. face-to-face interview, with selected candidates meeting with the principal and a member of the department with the vacancy
3. evaluation of two writing samples—one general and one specific to the discipline
4. observation of final candidates teaching a lesson to a class of our students

The initial paper screening is not especially unusual, in that the principal reviews the applications, looking for courses in the subject area and the candidate's ability to communicate about current topics and trends in education. He also considers the college that the candidate attended and his impression of the relevance of the curriculum at that college, based upon reputation and previous experience with graduates from that institution. If a college is teaching students how to make buggy whips and the hiring principal is interested in change or innovation, why should the principal waste his time or the candidate's time? The principal then sends the remaining applications to the department to the department member who will interview for further review. After both the principal and the department member have reviewed the applications, they decide which candidates to schedule for phases two and three.

Phases two and three occur as part of the initial interview, with the face-to-face interview including questions about educational theory, trends, and practice that reflect what the principal and school feel are important. Those questions should be designed to determine a candidate's knowledge of what students will need to know in the twenty-first century and how schools can prepare students for what lies ahead. During the interview, candidates should be asked things designed to bring out their personality, style, and knowledge of educational trends. Some examples are: "Define student-centered", "What characteristics of yours would convince me that you are a student-centered teacher?", or "Choose two issues from a list of six educational issues and discuss them". By asking questions that require the knowledge, skills, and personality you are looking for, you can avoid hiring a person who does not have the right profile for your school. The department is asked to create a set of subject matter questions to ensure that any candidates who continue to be considered have sufficient subject matter knowledge and can work with the other members of the department. Then ask the candidates to complete the third phase, which is written. If you are hiring a prospective English teacher, for example, ask the candidates to write a letter to parents, and then to evaluate a student's writing.

The fourth phase is where you present the finalists with the opportunity to teach a lesson from a set of outcomes determined by one of your regular classroom teachers. The candidates are expected to plan and teach a lesson with the regular teacher, the departmental interviewer, and you observing. The adults and the students evaluate each prospective teacher (see Evaluation of Prospective Teacher). Then you make your recommendation after consulting with all parties to determine their thoughts. If he or she is available, you may prefer to include the superintendent as an observer. If he or she is not available, ask the recommended candidate to return for a third visit so that the superintendent can talk with the candidate before making a final recommendation to the Board of Education.

In interviewing prospective teachers, the key ingredients that we look for are attitude and personality. If a candidate makes it past the paper screening, he or she should have sufficient content expertise to teach the discipline. Candidates do, however, need to have a good attitude and personality along with an ability to relate well with students. If they have those characteristics, you can help them succeed through a new teacher induction program or an ongoing mentoring program. We believe that we can train new teachers who have the right attitude and the desire to learn. We cannot teach someone how to relate to students, or to smile and be pleasant. Once the teacher has been hired, the school's induction program will help to shape the teacher's future.

There have been several instances where the opinion of the interview committee was changed after seeing a candidate teach a lesson. Some candidates relate well to adults, but not nearly as well to students. Under a traditional hiring model, schools hire people who are the best interviewees, not necessarily the best teachers. Teaching is about relating to students, organizing and preparing lessons to ensure that students learn the intended curriculum, and motivating the students to learn what is important for them to know. If our goal is to hire the best teachers, then it seems counterproductive to hire anyone without seeing them teach. That would be analogous to a baseball team signing a prospect to a long-term contract without seeing the prospect play baseball. There is an assumption, however, that you will know about the vacancy early enough so that you have students available. If you don't, you might want to have the candidates teach a lesson for the adults, but that is not nearly as good a predictor of future success.

This process is very time consuming, and means you have to advertise vacancies early. The results, however, have shown the value of taking the time before hiring a prospective teacher. Thus you will be likely to hire a person who will be successful in your school rather than one who must be released in a year or two, which means you would then need to spend the time again to hire another replacement. I would rather spend the extra time now and hire a successful teacher. This procedure has been used to hire eight teachers, and all have proven to be very successful.

We use this process at the high school level, but the process should be easily adaptable to the elementary or middle school level. The teacher who is involved in the process can be a teacher of the same grade level as the vacancy or a member of the team where the vacancy must be filled. The only caution maybe is that the younger the students, the less they will be able to help evaluate the new candidates.

We feel that if you try this process, you will find greater success in hiring the right teachers for your school. We would also suggest that you will not suffer from "hiring dread" each spring. Hiring the "right" teachers can add a great deal to your ability to impact positively on students and shape your school's culture. It can also help to reduce the stress that comes with parent complaints about teachers. Our experience during the last eight years is that this process works, and that as a result, we have not had to let any of our newly hired teachers go.

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Evaluation of Prospective Teacher

Please rate each candidate on a scale from 1–3, with 1 being low and 3 being high in each category.

Candidate ______________________________ Date ______________

INSTRUCTIONAL SKILLS

- Anticipatory set ________
- Use of technology as appropriate ________
- Subject area knowledge ________
- Shows evidence of planning and preparation ________
- Engages students in lesson ________
- Provides for individual needs of students ________
- Communicates with students ________
- Lesson includes multiple activities ________
- Lesson pacing (manages time) ________

PERSONAL CHARACTERISTICS

- Enthusiasm ________
- Communication ________
- Creativity ________

CLIMATE

- Motivates students ________
- Praises students ________
- Uses wait time ________
- Keeps students on task ________

Total (48 possible) ________

Comments ____

____

____

Evaluator ______________________________

Courtesy of Dr. Harold N. London, Principal, Ridgewood High School, Norridge, Illinois and Allen Schau, Superintendent, Ridgewood High School District 234, Norridge, Illinois.

NEW TEACHER INDUCTION (HOW CAN WE MAKE OUR NEW TEACHERS MORE SUCCESSFUL?)

What is a new teacher induction program? An induction program should have many components, including the following:

- a process for hiring teachers that discriminates based upon the needs of the school
- a process for hiring teachers that secures the best teachers, not the best interviewees
- a process for hiring that allows new teachers to be hired early in the hiring season
- a preservice program that provides new teachers with the necessary information to succeed
- a preservice program that provides new teachers with time to talk about teaching and learning
- a support network for new teachers that includes periodic meetings after the beginning of the school year to address concerns and questions quickly
- a coaching or mentoring program that provides an experienced teacher to support the new teacher in becoming acclimated to the school and district norms and expectations
- an evaluation plan that provides close supervision for new teachers to identify difficulties quickly and provide assistance
- an evaluation plan that provides clear delineation of school/district expectations for new teachers
- an evaluation plan that provides for remediation and allows for dismissal after the first year of any new teachers who do not meet school/district expectations
- a staff development program that provides support to new teachers in key areas as identified by the school/district
- an opportunity to review and ask questions regarding the faculty handbook
- information regarding payroll, insurance/benefits, procedures, etc.
- an opportunity to participate in the program in an active manner
- a program that models expectations of teachers in the way information is presented to new faculty

You will notice that induction begins with hiring. The need to have a sound hiring process is the first critical component of induction. If you hire the right teachers, they have a greater chance for success. Teachers who are hired should have a value system that is consistent with the school/district and principal. Try to hire teachers for those positions that you are aware of prior to the close of school to increase the quality of the pool from which you choose. Many schools hire in March and April, and those schools that begin later lose out on the best candidates. You also need to have some direction from the superintendent's office regarding the district's position on hiring, such as the following elements:

- experienced teachers
- teachers with advanced degrees
- the maximum number of years of experience the district will allow
- district needs

The district's needs should be balanced with the school's needs in selecting the teachers who will best meet those needs.

Once teachers are hired, the induction process becomes one where a school/district focuses on the needs of the individuals and the institution. Consider the following:

- What are the things that a new teacher in your building/district needs to know?
- What procedures exist that need to be outlined for the new faculty?
- What are the expectations for new faculty?
- What is expected with regard to parent contacts?
- How is attendance taken?
- What is the grading philosophy?
- What are the hours for teachers? Students?
- Schedules
- Lunch/breaks/recess/entry/dismissal procedures

Courtesy of Dr. Harold N. London, Principal, Ridgewood High School, Norridge, Illinois.

EXIT INTERVIEW FOR TEACHERS

These are some sample questions that can be used as you prepare for an exit interview with departing teachers.

PERSONAL INTERVIEW

1. Can you tell me why you are leaving our school?
2. What did you enjoy most about your job?
3. What did you like least?
4. If you are leaving for a position at another school, what does that school district offer that attracted you?
5. What job factors caused you the most stress or frustration?
6. What job factors gave you the most satisfaction?
7. What would you identify as the greatest strengths in our school district?
8. What are the district's problem areas that need improvement?
9. What can you suggest that would improve communication between the central office and individual schools?
10. Would you recommend this school district to a friend who is looking for a teaching position? Why or why not?
11. Do you have any constructive suggestions for the principal that would make this school a better place to work?

WRITTEN QUESTIONNAIRES

When using a written interview with departing teachers, use statements and a Likert scale to generate responses. Use a rating scale of 1–5, with 1 indicating "Needs Improvement" and 5 indicating "Excellent." You might also want to include the option of "No Opinion" as well. Other job factors to consider including are: orientation to the school and school district, communication, recognition for good performance, evaluation procedures, workload, class assignments, working conditions, training and staff development, school atmosphere, and school safety and security.

1. The supervision I received was adequate.
2. I received adequate feedback on my performance and suggestions for improvement.
3. I received an adequate amount of supplies to do my job.
4. I could express complaints and concerns without fear of retaliation.
5. I grew professionally while working at this school.

Source: Jeff Stratton, Editor, *Board & Administrator*, Aspen Publishers, Inc., © 2001.

WAYS TO PROMOTE THOUGHTFUL CLASSROOM DECISIONS AND RISK TAKING THROUGH CONFERENCING AND OBSERVATIONS

- Be visible—visit rooms frequently.
- Confer in teacher's classroom or other place of teacher's choice.
- Familiarize teachers with the philosophy of Clinical Supervision with teacher ownership of conference objectives and important decisions.
- Emphasize that the conference dialogue and reflections, not the actual observations, are critical.
- Avoid supervisory dominance of a conference; it discourages honest communication.
- Recognize that there is no "Holy Grail" to effective teaching.
- Create a positive climate for thoughtful decision making and risk taking.
- Frequently use student work as part of a conference.
- Promote staff development—the clinical process should not be a "box canyon" but an opening to differentiated professional growth.
- Demonstrate lessons and team-teach on occasion.

Courtesy of Harvey B. Alvy, Assistant Professor of Educational Leadership and Foundations, Eastern Washington University, Cheney, Washington.

EXAMPLES OF INNOVATIVE DIFFERENTIATED PROFESSIONAL GROWTH OPTIONS

- serving as a mentor teacher for novice teachers
- participating in study groups that develop benchmarks, standards, and appropriate teaching strategies to share with colleagues
- reporting on strategies to strengthen teacher-student relationships
- developing curriculum and teaching strategies to support tolerance and diversity in each classroom and throughout a school community
- formulating strategies to assist at-risk youngsters
- developing "week-without-walls" activities or classes for year-round schools
- working on portfolios for teachers and students
- helping an at-risk teacher with a teacher assistance plan
- organizing and supporting a technology support group
- becoming a lead teacher or department chair
- engaging in a cognitive coaching work group
- participating in an Action Research project
- engaging in professional book talks (e.g., Socratic Seminars)
- developing an individual professional growth plan
- serving on a staff development team, planning a schoolwide initiative
- analyzing a series of video lessons
- engaging in 360-degree formative evaluation process
- working on across-grade level or subject level vertical articulation teams
- reporting to the faculty on a professional conference
- developing strategies to strengthen parent and community relations (e.g., exploring a parent night or parent "institute" option)
- exploring team teaching or looping models
- participating in, or organizing, a peer-coaching group
- working with appropriate groups, developing a faculty evaluation instrument based on schoolwide goals for students
- organizing a support group on integrated curriculum ideas
- experimenting with instructional strategies for various learning styles or multiple intelligences
- developing strategies to promote quality special-service team meetings
- participating in a cooperative learning work group
- sharing ideas on classroom learning centers for enrichment
- helping colleagues develop strategies for block schedule teaching
- developing an educational grant for a school

Courtesy of Harvey B. Alvy, Assistant Professor of Educational Leadership and Foundations, Eastern Washington University, Cheney, Washington.

TYPES OF STAFF SUPERVISION MODELS

Model	Focus	Example
Trait	Teacher traits	Teacher dress issue
Process	Structure of lesson	Poor lesson plan
Instructional objectives	Student learning	Poor student work
Teacher performance objectives	Teacher performance out of classroom	Teacher tardiness
Peer supervision	Professional skills and collegiality	Classroom control
Self-supervision	Teacher concerns	Student participants
Parent supervision	Parent perceptions	Parent complaints
Student supervision	Student perceptions	Student complaints
Certified nonteaching staff	Guidance, Nurse	Poor recordkeeping
Extracurricular program supervision	Advisors and coaches	Problems and controversies
Administrator supervision	Principals and other administrators	Program accountability
Support staff supervision	Secretaries, custodians, etc.	Courtesy and confidentiality
Student, teachers, and substitutes	Teaching performance	Failure to teach effectively

Source: Bernadette Marczely, *Supervision in Education: A Differentiated Approach with Legal Perspectives*, Aspen Publishers, Inc., © 2001.

DIFFERENTIATING STAFF SUPERVISION TECHNIQUES

Supervisors encounter a wide range of problems and personalities within the school community. Each problem brings its own unique "fact pattern" to the fore and illustrates the need for differentiated supervision practices. The profiles that follow give 10 examples of the types of fact patterns that a supervisor may have to address. Read the teacher profiles and develop a supervision plan for each teacher. Discuss your reasons for choosing a specific plan with a colleague, and determine how you will collect data to support your choice of supervision models. For example, in Profile 1, how will you show Max that too much time is spent lecturing and that students are bored?

TEN SAMPLE TEACHER PROFILES

1. Max has been teaching for five years, and you have observed Max teaching at least five times. During each observation, Max spends an inordinate amount of time lecturing, then has the students begin to do the homework assignment. You find this approach uninspired and notice that many of the students seem bored.
2. Lynn has a reputation as an exemplary teacher. Lynn has taught in the district's high school for 15 years and has won several awards for teaching. However, Lynn is not involved in the school community beyond the classroom. That is, Lynn does virtually nothing beyond the contractual job description to enhance student life. This concerns you because, in a high school environment, there is a need for teachers to do more than simply teach. You have always hired teachers with the understanding that they will play active roles outside the classroom.
3. Tyler has taught for 25 years, has served on virtually every committee ever convened, and has never missed a day of school. This year, however, you notice a difference in Tyler's performance. Tyler seems to have run out of steam, and students complain that Tyler is short with them and seems disorganized. Fellow teachers hint that they smell liquor on Tyler's breath.

continues

Differentiating Staff Supervision Techniques continued

4. Taylor is a first-year teacher with good self-esteem and great potential. Taylor genuinely enjoys teaching but does not appear to do it well. Parents complain that Taylor's fourth-graders have difficulty understanding what is taught. When you have observed Taylor, you notice that each class begins with an activity, but there is no explanation as to what the activity is going to help the students achieve. Taylor justifies this approach as learning through discovery. Nevertheless, the district's achievement tests show Taylor's students achieving far below goals set.
5. Jo has taught for seven years and is a good teacher, although you wish Jo would incorporate a wider range of learning styles in the lessons you've observed. Several parents have complained that Jo ignores the needs of students who do not culturally identify with Jo. Test scores appear to validate parent concerns.
6. Gerri is one of three teachers in your building whose students failed all parts of the sixth-grade proficiency test. As principal, you have been ordered to work with Gerri to bring student scores up or to prepare the paperwork for Gerri's dismissal. This is the third year that Gerri's students have performed poorly.
7. Shawn has taught math for three years in your middle school. When you observed Shawn's class on percentages, you became aware of the fact that Shawn did not know the correct way to convert percentages greater than 100 to whole numbers and fractions.
8. Brent is new to your school but has been absent at least two days each month. It is now April, and you have noticed that Brent's absences are consistently on the last Friday and Monday of each month. Although your teacher's contract does not give you the right to ask Brent for an explanation or a doctor's note, you feel that you cannot let this trend continue without some comment. How can you incorporate your concern into a supervision plan?
9. Tiffany has taught at your high school for four years. She was granted tenure last year, and since then, her performance has declined in several respects. For one thing, you are concerned about the way she dresses. Although she is young and relatively attractive, most days she comes to work in tight jeans and jerseys, wearing Gothic makeup. Several parents also report that she is frequently seen socializing with students after school. You are concerned that Tiffany may be courting disaster.
10. Riley has been an exemplary Latin teacher for the last 20 years. Riley is now 48 and, due to declining enrollment in the program and threatened budget cuts, may not be renewed in the next few years. Riley has been a vital part of your school and an active teacher whom others respect and look to for advice and assistance. As Riley's supervisor, you do not want to lose him, but you see the numbers and the handwriting on the wall that predict the elimination of the Latin program.

Source: Bernadette Marczely, *Supervision in Education: A Differentiated Approach with Legal Perspectives*, Aspen Publishers, Inc., © 2001.

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SUPERVISING CERTIFIED, NONTEACHING STAFF

In every school, there are professionally certified staff members who do not teach. They play important supportive roles in the school program but do not have responsibility for the daily supervision of a classroom. Guidance counselors, school psychologists, school nurses, media specialists, and subject area specialists are examples of certified staff in nonteaching positions. These individuals usually hold advanced degrees or training in their areas of expertise and are licensed by the state to practice in that specialty. Although most states view all certified school employees as teachers covered by the collective bargaining agreement, the rights and responsibilities of these certified nonteaching professionals are very different from those of teachers. The job descriptions, trait models, and performance objectives used for supervising the teaching staff do not describe or adequately address the needs of this unique group.

To effectively supervise members of the certified, nonteaching staff, supervisors should have a clear idea of the stated mission of each position and should be familiar with the position's job description implementing that mission. All of these positions provide the opportunity for more independent action and decision making than that found in classroom teaching, unless district policy limits or proscribes that independence. In addition, because of the confidential nature of several of these positions, it may sometimes appear difficult to supervise employee performance. However, lack of clearly stated district policy or supervision in these areas can have dire legal and public relations consequences for districts and administrators.

Source: Bernadette Marczely, *Supervision in Education: A Differentiated Approach with Legal Perspectives*, Aspen Publishers, Inc., © 2001.

A TRAIT MODEL FOR SUPERVISING THE GUIDANCE COUNSELOR

Responsibility	Evidence of Performance
Individual student counseling	Record of appointments
Crisis counseling	Anecdotal reports and observations
Response to teacher referrals	Teacher complaints and commendations Teacher satisfaction surveys
Group counseling sessions	Agendas and anecdotal reports
Parent conferencing	Record of phone calls and conferences
Consultations	Record of meetings regarding students
Supervision of student records	Record of review and complaints
Compliance with Board policies	Record of problems and complaints
Career planning activities	Meetings, agendas, and anecdotal reports

Source: Bernadette Marczely, *Supervision in Education: A Differentiated Approach with Legal Perspectives*, Aspen Publishers, Inc., © 2001.

A TRAIT MODEL FOR SUPERVISING PUBLICATION ADVISORS

Areas of Responsibility	Data Monitoring Performance
Instruction in writing and research	Quality of publication
Instruction in publication ethics	Complaints and controversies
Preview of all published material	Record of approvals and denials
Ability to meet publication deadlines	Publication record
Ability to manage publication budget	Budget record
Ability to promote readership	Record of projects and readership rates
Regular evaluation of publication	Record of needed reforms
Ability to promote student involvement	Student membership
Ability to foster creativity	Review of publication
Promotion of the school's mission	Publication review and evaluation

Source: Bernadette Marczely, *Supervision in Education: A Differentiated Approach with Legal Perspectives*, Aspen Publishers, Inc., © 2001.

A GENERAL TRAIT MODEL FOR SUPERVISING CLUB ADVISORS

Responsibilities	Performance Data
Develop club mission statement	Written mission statement
Develop club constitution	Written constitution
Help students develop meeting agendas	Record of agendas
Help students set relevant objectives	Record of club's objectives
Help students attain objectives	Minutes of meetings
Arrange for relevant activities	Journal of club activities
Manage club resources	Budget records
Assist with needed fundraising	Record of fundraising activities
Benefit the school or community	Narrative description of efforts
Enhance student skills	Showcase club efforts/products

Source: Bernadette Marczely, *Supervision in Education: A Differentiated Approach with Legal Perspectives*, Aspen Publishers, Inc., © 2001.

GOALS AND ACCOUNTABILITY

A RECOMMENDED PROCESS FOR ANALYZING A SCHOOL IMPROVEMENT PLAN

School improvement plans (SIPs) often contain tons of data, goals, action plans, time lines, needs assessments, analysis of strengths and weaknesses, and lists of improvement activities. Each of these may seem important but there is always more that educators can do on behalf of their students than there is time to do it. That leads us to wonder about the following:

- How can we know if we have left out some important steps in our SIP planning?
- How can we know if all the activities we have planned are really necessary?
- How can we know if our plans make sense as a whole, not just as parts?
- How can we know if the time and resources we invest in improvement are likely to capture the benefits we plan to achieve?

The following is a powerful, proven process to help a school staff to analyze their school improvement so as to answer the above questions and to maximize their improvement efforts. Schools that have used this strategy have found they have increased the results of their SIP process because they have learned how to better focus their resources and time on their priorities.

Basically this analysis process uses *color coding* and *linking lines* to diagram and emphasize the relationships across the components of a school improvement plan. The colors and links highlight the connections between the parts of the SIP that are logically connected. The patterns that become very evident help to reveal those parts of a plan that are missing key steps. Those areas that end up without color are candidates for elimination as they are unconnected to the priorities of the SIP. A final benefit of this analysis becomes evident the next time the SIP is written. The color coded analysis makes needed revisions obvious and rewriting becomes much easier.

How you approach this analysis depends on how many pages you have in your SIP.

- If your SIP has many pages, such as 30 or more, you should use "Analysis Process 2."
- If you have a SIP that is more of a summary, such as 20 or 25 pages, use "Analysis Process 1."
- Reducing the pages to about 75% on a copier makes it harder to read but it makes the project easier to manage if you have 20–30 pages in the SIP.

You will need the following materials:

- a set of 8–10 colored highlighter markers—markers with a wider tip to cover a line of text
- clear scotch tape
- scissors
- a large table
- several 3–5-inch wide strips of paper, approximately 20 or 36 inches long, such as from a newsprint pad (optional—see step 3 in the next section)

ANALYSIS PROCESS 1

1. Number all pages in sequence and remove the staple to separate the pages.
2. Use a large table and arrange the pages as follows:
   - Cluster the pages by any sections in the SIP such as "Needs," "Goals," or "Time line."
   - Arrange the sections horizontally in sequence from left to right.
   - Arrange the pages within each section vertically from top to bottom.
3. If there are more than 3 pages in a section, lay in a 3–5 inch strip of blank paper vertically before and after that section.
4. Place a few 2-inch pieces of clear scotch tape sticky side up and ½ under the edge of each page and then align the next page and press it onto the exposed tape to hold the pages in place to each other. Put no tape on the front of the pages if possible. Turn the entire collection of pages over on their face and carefully apply tape to every edge, taping the entire arrangement into one large page. (An alternative is to tape the pages to a large sheet such as butcher paper, poster board, or flip chart paper. This is not as useful as it results in the tape showing on the front of the pages. The problem is that most highlighter markers can not mark on tape.) Turn the arrangement over so it can be read.
5. Look for the goals, either stated as such or within a mission statement and read them.

continues

Process for Analyzing a School Improvement Plan continued

6. Create a color key on a blank area of one page or a separate piece of paper. Start by listing a key phrase for each major aspect of the goals such as "Improve attendance" or "Increase IGAP reading and writing scores." Try to limit these phrases to the 6–10 most important "strands" in the goals and keep your statements fairly general. Color each phrase in the key a separate color.
7. Color that same phrase in the goals/mission as it is in the key. Next search through all of the SIP for references to that phrase or for steps, activities, etc., that are obviously related to attaining that part of the goal. Do not stretch the meaning of any words to "make" them relate to the key phrase. For example, if the key phrase is "Increase IGAP reading and writing scores," then plans to "Develop a reading rubric and assessment," "Staff development on reading and writing," and "Assign a specific grade level to pilot the teaching a writing process to students," are all phrases that should be colored the same color as "Increase IGAP reading and writing scores" is in the key. Repeat this process using as many colors as needed to highlight all the phrases in the SIP that relate to the phrases in the color key. Not all parts of the SIP are likely to need color coding.
8. The next step is to illustrate the logical links between the phrases that are all colored the same color. You should try to draw color-coded lines that connect the same colored phrases in the SIP in the order that they are written in the SIP.

ANALYSIS PROCESS 2

The essential process is the same in Analysis Process 2, except that with a SIP of more than 30 pages is too unwieldy to tape all the pages together and to use the assembled whole. The solution is to write a summary of the school improvement plan eliminating all but the key phrases, onto a large piece of paper or poster board, using the following approach:

1. Skip steps 1–4 in the first process since you will not be taping all the pages into one large sheet.
2. Use the colored highlighter markers to identify the key phrases or parts of the goals as described in steps 5–7 in process 1 above. The intent in this approach is to identify the phrases, create a key and color-code list, and then color code all relevant phrases in the remaining sections of the SIP.
3. Once the color coding of the SIP is done, count the number of major sections in the SIP, such as "Needs," "Time lines," "Implementation activities," etc. Add one more than the number of sections and then create columns for that number on a large horizontal piece of paper or poster board. Try to make each column about 3 inches wide. Tape two poster boards together if needed so that the chart will not be too crowded. Drawing the colored lines later will be too hard if it is crowded. Label the first column "Issues" and then label each of the other columns with the name of the SIP sections in order from left to right.
4. Select one key phrase (for example the blue one on improving attendance) and write the name "Attendance" in the first column, color coding that title blue. Look through the SIP for all of the blue color-coded parts on attendance. Transfer a summary of these parts to the appropriate columns on the large page, but do not color code any of these other items on the large page yet. Repeat these steps until all the major ideas from the SIP are summarized on the large page under the correct columns and headings. This will take some time to accomplish, even if the person doing the task is already familiar with the SIP. The results, skills, and understanding attained by the persons doing the analysis makes it well worth the time!
5. Now this large summary of the SIP can be used to diagram the connections (or lack of connections) as in step 8 above. Follow steps 7 and 8 in the first process. You should color code all the statements across each column that clearly are related to the key phrase/goal. (This could be optional but is a good check.) Next draw lines in the same color to connect the specific ideas and steps across the SIP so that a "chain of logic" is created.

SO NOW WHAT?

Regardless of whether you have used process 1 or process 2, the following should be your guide. If

continues

Process for Analyzing a School Improvement Plan continued

the final chain of color-coded connected ideas was well done in the beginning, it should almost read like a sentence all across the columns on the chart. All the steps of a good plan should be present and very evident. You can analyze whether the SIP is a complete plan by looking for the colors and the connecting lines. The basic conclusions about the SIP and what needs to be done next to improve the planning and focus are outlined in the following:

- *If there are some text areas that are not colored,* that indicates that they are not clearly related to the goals or priorities of the mission statement.
  - It may suggest that these are extraneous steps, activities that are not essential or unneeded. If so, they might be eliminated from the plan.
  - It may also be an indication that these steps are poorly written or incomplete and that they need to be better connected to the goals. A reading of these uncolored text areas will help you decide if the text describes things that are unnecessary or if they need to be clearly written and linked to the goals.
  - A final possibility is that the uncolored text is important, but only as a prerequisite step, one that is not closely related to the goal.
- *There may be some strands of colored items that do not have text in some columns.* This is really quite typical, and is a very important discovery. This finding may indicate, for example, that there are needs identified, persons assigned, and activities defined, but no time lines stated for that person to be accountable to, or no means for monitoring progress described. When such gaps are discovered in a SIP, these steps need to be completed.
- *By comparing these two findings (uncolored low priority steps and incomplete steps),* a SIP team can eliminate unnecessary work, ensure that clear and complete processes for each goal are defined and, as a result, create a SIP that is more likely to achieve what is intended.

Source: Barry Sweeny, President, Best Practice Resources, Inc., Wheaton, Illinois, © 1997. www.teachermentors.com. Reprinted with permission.

MEANINGFUL MEASURES WORKSHEET

The demand for accountability in education requires us to be able to evidence how we are continuously working to improve teaching for learning. To evidence your progress, meaningful measures must be decided upon, operationally defined, collected, and communicated. The guiding principle behind finding meaningful measurement is to collect information that's compelling enough to convince any skeptic.

DETERMINING MEASUREMENTS

Begin the meaningful measurement process by determining what two kinds of measures could be identified for the following:

- Process Improvement
  - To improve the student referral process as measured by
  - To improve the student intervention process as measured by
- Implementation of Staff Development
  - To evidence the use of brain-compatible strategies as measured by
- Student Performance Goals
  - To promote critical thinking for all students as measured by
- District Goal
  - To evidence student responsibility for learning as measured by
- Building Goal
  - To improve student behavior as measured by
- Classroom Goal
  - To improve the cooperative learning process as measured by

Courtesy of D.J. Corson, Organizational Development Consultant, Area Education Agency 7, Cedar Falls, Iowa.

WRITING GOOD GOALS

Well-written goals will pass the following criteria:

- Is the goal specific about what you are trying to do?
- Does the goal indicate some measurable evidence that can help you determine whether you've met the goal?
- Is the goal realistic to accomplish?
- Is the goal attainable in the time frame indicated?
- Is there a need for the goal?
- Is the goal student focused?
- Does the goal align with one or more district standards?
- *Is the written goal really the goal?*

GOALS

Identify which goals pass the criteria by placing an "X" on the line preceding the goal statement. If the goal does not pass the criteria, please tell *why*.

____To improve student behavior

____To improve reading comprehension of all 4th-grade boys

____To increase the use of technology for improving appreciation for writing in 5th grade

____To improve schoolwide student behavior this year as measured by the number of behavior referrals and number of children who receive check marks on grade reports

____To increase the number of 4th-grade students who are reading at grade level as measured by ITBS reading comprehension results and Accelerated Reading scores

____To increase parental involvement in our school

____During the 1999–2000 school year, we will increase the number of teachers who are using problem solving strategies in their classroom.

Courtesy of D.J. Corson, Organizational Development Consultant, Area Education Agency 7, Cedar Falls, Iowa.

District and Building Goals Alignment Worksheet

District Goal	Measures	Previous Building Performance on Goal Measures	Performance Gap Needing Improvement	Building Goal

Source: Copyright © 2002, Aspen Publishers, Inc.

Building and Staff Goals Alignment Worksheet

Building Goal	Measures	Responsible Parties	Related Potential Staff Goals

Source: Copyright © 2002, Aspen Publishers, Inc.

Goal Progress Tracking Sheet

School Year:

Goal:

Measures:

Supporting Data:

Proposed Timeline for Accomplishment:

Status Summary:

AUG	SEPT	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUNE

Source: Copyright © 2002, Aspen Publishers, Inc.

School Improvement Plan Template

District:

Building:

School Year:

Long-Range Goal:

☐ STUDENT IMPROVEMENT: ☐ Achievement ☐ Learning Goals ☐ SCHOOLWIDE STAFF/SYSTEMS IMPROVEMENT

Annual Improvement Goal and Measures:				
Rationale:				
☐ Beginning of Year Plan ☐ Mid-Year Progress ☐ Year-End Progress				
Improvement Activities	**When**	**Who**	**Resources**	**Data Gathering and Monitoring for Assessing Progress/Results**
			☐ General fund ☐ Phase III ☐ Technology ☐ Title I ☐ Title II ☐ Title IV ☐ Title VI ☐ Safe/drug-free ☐ Grant monies ☐ TAG ☐ At-risk ☐ Success4 ☐ Foundation ☐ Other: ____________	

Courtesy of D.J. Corson, Organizational Development Consultant, Area Education Agency 7, Cedar Falls, Iowa.

Whole School Reform Implementation Plan—Activity Plan

Date ____________________

Plan Period __________ to __________

District:			School:		
WHOLE SCHOOL REFORM ELEMENT	**GOAL**	**OBJECTIVE**	**Activity** (List only those activities for each objective that have budget implications.)	**Responsible Entity**	**Timeline for Completion**
1 and 2. Improved student performance/ WSR research-based program					
3. School-based leadership and decision making					
4. Integration and alignment of school functions					
5. Educational technology					
6. Professional development					
7. Safe school environment conducive to learning					
8. Student and family services and coordination of resources					

continues

Whole School Reform Implementation Plan—Activity Plan continued

WHOLE SCHOOL REFORM ELEMENT	GOAL	OBJECTIVE	**Activity** (List only those activities for each objective that have budget implications.)	Responsible Entity	Timeline for Completion
9. Reward system					
10. Alternative education program					
11. School to career					

Courtesy of the New Jersey Department of Education, Trenton, New Jersey.

SCHOOL IMPROVEMENT ACTION PLAN CHECKLIST

CRITERIA CHECKLIST FOR SCHOOL IMPROVEMENT TARGETS

- The target clearly describes a specific improvement result (not an activity).
- The target provides a specific and complete description of who will improve and what they will be able to do.
- The target specifies at least two measures and a performance standard or baseline that will be used to measure progress.
- The target specifies the time frame in which the improvement will be accomplished.
- The target is justified by a clear, strong rationale, which references a thorough school-based data analysis and interpretation.
- All of the targets together comprise a comprehensive improvement plan that addresses the achievement of specific students/student groups, the achievement of all students, and the schoolwide staff/system improvements needed to support student achievement.

CRITERIA CHECKLIST FOR PROVIDING RATIONALE

- The rationale provides a sound "common sense" basis for the target selected.
- The rationale provides a link between the mission/vision of the school and the target.
- The rationale is grounded in data.
- The rationale provides an explanation of the gap between the desired state and current reality.

CRITERIA CHECKLIST FOR IMPROVEMENT ACTIVITIES

- The activities are directly related to the target in ways that will result in significant improvement.
- The activities include only those efforts that go beyond the school's current practices.
- The activities include the necessary staff and organization development strategies to prepare staff members to use new practices.
- The activities reflect what is known about effective classroom and/or school practices.
- The activities are powerful enough to result in the desired improvement.
- The activities are realistic in terms of timelines, expectations, and resources.
- All of the activities together comprise an interrelated effort that is comprehensive and significant enough to result in improved classroom practices and student learning.

ADDITIONAL CRITERIA

- Specify your additional criteria.

Courtesy of D.J. Corson, Organizational Development Consultant, Area Education Agency 7, Cedar Falls, Iowa.

SAMPLE SCHOOL ACCOUNTABILITY REPORT CARD

MESSAGE FROM THE PRINCIPAL

The School Accountability Report Card, mandated by the passage of Proposition 98, serves to keep the public better informed about the local elementary school. This report offers an opportunity to provide meaningful information to the community, to gain support for our programs, and to highlight the mutual efforts that have resulted in the growing excellence at our school. I welcome your comments and suggestions for continued improvement.

SCHOOL PROFILE

This school was built in 1989 and is located in the Canyon Lakes area. Homes are primarily large, single-family dwellings with some condominiums and apartments.

The area is growing rapidly and, as a result, four additional classrooms were added to the 15 original rooms for the start of the 1990 academic year, 3 portable classrooms were added for the 1997–98 school year, and an additional portable was added for the 1998–99 school year. Currently, there are 26 K–5 classes for 620 students.

GOALS

The mission of the school is to promote excellence by

- recognizing individual student needs and interests
- emphasizing academic excellence in classroom instruction
- focusing on reading, writing, math, and technology while fostering a knowledge of and appreciation for the arts and humanities
- creating a positive school climate that is both physically and emotionally safe
- fostering all levels of community involvement

COMMUNITY INVOLVEMENT

A key ingredient to the success of our program is the support and involvement of the parents, who place a high value on education. An active parent community supports our programs through the PTA, School Site Council, Parent Education Program, Art Docent Program, and Emergency Preparedness Program. The PTA funds educational assemblies, classroom instructional supplies, and computer and technology equipment. Parents quickly volunteer to assist classroom teachers, the computer lab, art, and music programs, yard supervision, library, and the administration of vision and hearing screening. Parents and community support yearly special events as well. In addition, our school receives support from major corporations and small businesses in the surrounding community.

SPECIAL AWARDS

- Special Grants
  - –Science Curriculum Development
  - –"Science Express" home science program
  - –A Kindergarten Publishing Center
  - –Three Substance Abuse Prevention Programs
  - –ACSA Region VI 1990 Mini-Grant
- An Adopt-a-School Project to create a state-of-the-art computer network system
- Gifted and Talented Education Grant
- Art Docent Program Support Grant
- California State PTA Outstanding Unit 1991–1992, Del Valle Council
- San Ramon Valley Education Foundation Grants: 1991–1997
- One Teacher of the Year—1991
- One Teacher of the Year—1992
- Principal named Administrator of the Year for Contra Costa County—1993
- Full Inclusion: National Pilot
- Tri-Valley Community Fund Grants: 1992–1995
- 1993–94 "First Year Teacher" Award

HIGHLIGHTED PROGRAMS

In addition to individual classroom excellence, highlighted programs at our school are the following:

- Adopt-a-Class
- Leadership Club
- After-school enrichment classes
- Cross-Age Buddy Program
- Hands-On science lab
- Full inclusion of students with special needs

continues

Sample School Accountability Report Card continued

- PIE—Parent Investment in Education funding classroom paraprofessionals
- DARE—substance abuse prevention education, grade 5
- PEP—Parent Education Program in grade 4, reinforcing social skills in an effort to educate against substance abuse
- Ravenous Readers—Reading incentive program Reflections
- Art Docent—a program run by parent volunteers
- Book Fair
- Business Corporate Volunteer Programs
- Silent Sustained Reading (SSR)
- Gifted and Talented Education Program (GATE)
- Instrumental Music

ATTENDANCE

The school adheres to the state-mandated attendance procedures of excused and unexcused absences. The attendance for 1997–98 was 96.47%. Fewer than 1% of the absences were unexcused. Parents are requested to phone in their child's absence daily on a special "absence line." All absences reported by teachers, and not phoned in by parents, receive a personal phone call at home or work the day of the absence. The importance of daily attendance is emphasized by classroom teachers, and continuing problems receive special attention by the nurse and principal.

INSTRUCTIONAL MINUTES AND DAYS PER YEAR

The table below delineates instructional requirements and corresponding totals for our school.

Grade	Number of Minutes Required by State	Number of Minutes Offered	Number of Days (Required/ Offered)
K	36,000	36,000	180*
1–3	50,400	52,280	180*
4–5	54,000	54,605	180*

*Includes 6 staff development days in 1997–98, and 3 staff development days in 1998–99.

CLASS SIZE

According to district policy, no more than 20 students are enrolled in classes for grades 1–3. In grades K, 4, and 5, the schoolwide average is kept at 30. Kindergarten classes have an additional teacher for one-half of the student day. As of February 1998, class sizes were as described in the table below.

Grades	Class A	Class B	Class C	Class D	Class E	Class F
K	30	30	30	30	—	—
1	20	19	20	20	20	20
2	20	20	20	20	20	—
3	20	20	20	20	20	—
4	30	29	30	—	—	—
5	30	30	30	—	—	—

continues

Sample School Accountability Report Card continued

DISCIPLINE AND CITIZENSHIP

Positive behavior and citizenship are reinforced by the following:

- Good Slips for positive student behavior
- Student of the Week (chosen by individual classrooms)
- Leadership Club—open to all interested students, grades 4–5
- Friday School Spirit Days

Discipline measures taken are listed in the table below.

	Suspensions	Expulsions
1995–96	9	0
1996–97	3	0
1997–98	6	0

STUDENT ACHIEVEMENT

Standardized Testing

In Spring 1998, the district participated in the state STAR testing program. Students in grades 2–11 took the Stanford-9 Achievement Test (SAT-9), which is a nationally normed standardized achievement test. District students scored far above the state and national averages in reading, language arts, and mathematics. The Spring 1998 SAT-9 standardized test results for our school were as described in the table below.

	Reading	Language	Math
Grade 2	74	77	73
Grade 3	71	75	70
Grade 4	74	70	76
Grade 5	76	76	71

Our school staff are using this first year of Stanford-9 data as baseline information as we prepare for the Spring 1999 standardized testing period.

District Proficiency Testing

Each school district in the state is required to develop minimum proficiency requirements for elementary, middle, and high school students. Students are required to pass the minimum proficiencies in reading, language arts, mathematics, and writing as a high school graduation requirement. Our students are tested in grades 4, 7, and 9. In the 1997–98 school year, the proficiency level was determined by a percentile cut-off score on the Stanford-9 Standardized Test for 7th grade students and by a percent correct of selected items on the Stanford-9 for students in grades 4 and 9. Results were reported to parents. Students who were not "proficient" were given assistance and a chance for retesting. A separate performance writing test was also given. Our fourth-grade students' results in the writing test are listed below.

Percentage of Students Passing on First Attempt in Writing Assessment	
1996–97	1997–98
95.7%	80%

FACILITY

The capacity of our school is 620 students in 26 self-contained classrooms. The school includes a multiuse room with a stage, a computer lab, a science lab, and a library/media center. The number of class levels is determined in the spring based on student population. With the help of Shapell Industries and the City of San Ramon, the outdoor area includes a beautiful playing field and a community park with two creative climbing structures.

SAFETY

Staff and students take pride in keeping the campus safe and clean. Visitors and volunteers check in at the office. Fire and earthquake drills take place on a regular basis. Adults supervise the playground at all recesses and before and after school.

We also have a Disaster Preparedness Plan.

continues

Sample School Accountability Report Card continued

SPECIAL PROGRAMS

This school offers the following programs:

- Special Education Resource
- English as a Second Language
- Physical Education Specialist
- Science Specialist
- Music Specialist—1st Grade
- Instrumental Music
- Speech and Language
- Psychologist
- Full Inclusion
- Slip schedule for the 1st–3rd grades
- Discovery Center—SCIP Intern
- Early Intervention for At-Risk Students
- Student Support Team (SST)
- Growing Room—before and after school care
- Odyssey of the Mind

The School Site Council coordinates the School Improvement Program by targeting areas for special funding and support. The PTA helps orchestrate a high level of parent involvement and provides educational programs for parents and staff.

INSTRUCTIONAL MATERIALS/TEXTBOOK SELECTION

Textbooks are normally adopted on a 7-year cycle by the district from a list of materials approved by the state. The district, after a thorough research process, adopted for elementary schools the *Open Court* and *Harcourt Brace* Language Arts textbook series focusing on basic reading and writing skills and rich literature. The district also adopted a spelling series and a writing book that includes grammar, punctuation, styles, and research/study skills. During the 1998–99 school year, language arts materials for secondary schools will be adopted.

These adoptions, as well as future adoptions, are aligned with state and district standards and benchmarks, district curriculum cycle, and state framework.

TECHNOLOGY

Our school has a computer lab in which students in grades K–5 receive technology instruction from our part-time computer aide and parent volunteers. In addition, classroom computers are used as ongoing tools for learning. We are in the process of developing a master plan that includes staff development, classroom computer use, e-mail, and Internet access. Funds for equipment and training are provided by SIP and P.I.E. partially funds our computer aide.

LIBRARY

The library is designed to be both a media center and a library. The library is stocked with books of fiction, nonfiction, easy-to-read beginner books, and sophisticated reference materials for staff use.

The quality of the library is continually updated and upgraded through efforts by local donations and an annual Book Fair. The library media coordinator and/or a library paraprofessional meet with each class for 30 minutes each week, and students are encouraged to check out a book to take home. The library media coordinator and paraprofessional also assist classroom teachers in compiling materials for special projects and reports in addition to helping with individual student needs.

FACULTY

Our school has a dedicated, professional staff that includes 26 classroom teachers, one full inclusion teacher, one resource specialist, a science teacher, and on a part-time basis: an instrumental music instructor, P.E. teacher, ELD teacher, psychologist, nurse, speech therapist, 15 classroom aides, 5 inclusion aides, 3 resource aides, a library assistant, and a library aide.

Most staff members hold advanced degrees and additional credentials. All members of the staff are involved in continued growth and learning through staff development and outside pursuits. Several teachers are master teachers, training student teachers from surrounding colleges and universities.

continues

Sample School Accountability Report Card continued

Some teachers have obtained their CLAD certification. Currently, one teacher is on an emergency credential, due primarily to class size reduction at the primary grades.

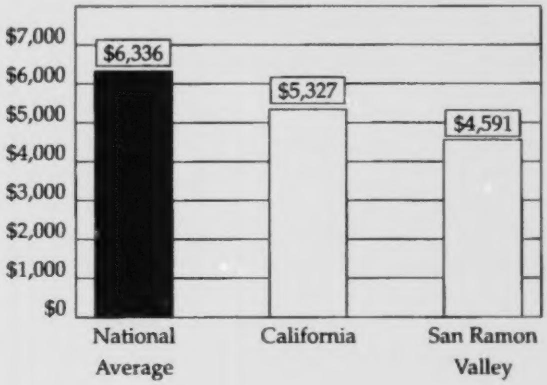
REVENUE DATA

The total amount of 1997–98 revenue received by the district was $100,254,533. Seventy-one percent came from state basic revenue, 2% from federal sources, 6% from special education allocations, 11% from other state sources, 8% from other local sources, and 2% from the state lottery.

EXPENDITURES AND SERVICES

In 1996–97 the most recent year for which data are available from the state, California spent an estimated $5,327 per student, which was far below the national average of $6,335. Our district spent approximately $4,681 per student based on total expenditures of $88,428,859. Classroom education costs accounted for 70% of this money; school maintenance, utilities and operations 11%; special education 9%; auxiliary services 3%; district administration business operations 4%; and facilities 3%. Our district spends less than the state average because we are a "low wealth" district as defined by the state's complex funding formula for schools, as demonstrated in the graph below.

RESOURCES PER PUPIL
1996–1997



LEADERSHIP AND PROFESSIONAL ROLES

This school has a commitment to excellence for all students. In order to accomplish this goal, the staff are dedicated to continuous professional growth. Teachers and the principal continually attend seminars and classes to increase their effectiveness. The adjusted Wednesday schedule provides for weekly collaboration. Teachers and the principal participate on school and district committees and curriculum task forces. Some teachers serve as district mentor teachers, association leaders, presenters at workshops, and members of the School Site Council and PTA.

STUDENT SUPPORT SERVICES

This school has a school nurse on campus one day a week. The half-time school psychologist provides direct services to students as a consultant to parents and staff. Our speech and language specialist is on site three days a week providing services and assessments for students. A counselor from the Discovery Center is on site one day a week to provide counseling to designated students. The elementary library assistants are on campus for a combined 26 hours a week.

SUBSTITUTE TEACHERS

Classroom teachers are responsible for contacting the substitute service when they are absent. The school has a substitute handbook, and lesson plans are provided by the regular teacher. The district has taken steps to ensure an adequate pool of well-qualified substitutes is available.

STAFF DEVELOPMENT

Activities are centered around the school's needs. A site-based staff development plan addresses schoolwide priorities as well as specific individual and small group activities. Teachers attend professional workshops and conferences based on their individual needs. This year the major focus will be on language arts, writing assessment, and technology. Teachers share strategies at weekly grade-level

continues

Sample School Accountability Report Card continued

and cross-grade-level meetings and during 6 staff development days and Wednesday collaboration time meetings. On-site teacher mentors share new strategies with the staff.

EVALUATION SYSTEM

All beginning teachers are evaluated every year by the principal until they are granted permanent status. Thereafter, every teacher is evaluated every other year. Objectives and observations with pre- and post-conferences are all part of the process. A remediation plan and reevaluation occur on an annual basis if support is needed. The purpose of the evaluation process is to reinforce quality instruction.

Salary averages are shown in the table below for 1997–1999.

DATA CATEGORY	State Average	District Average
Beginning teacher	$29,728	$28,616
Midrange teacher	$46,875	$46,517
Highest paid teacher	$57,022	$57,590
Site principal	$74,712	$72,936
Superintendent	$111,549	$117,198
Bdg % teacher	43.78%	43.44%
Bdg % administrator	5.30%	5.23%

Courtesy of Golden View School, San Ramon, California.

SCHOOL CLIMATE

STRATEGIES THAT ENHANCE A SAFE AND ORDERLY LEARNING ENVIRONMENT

Creating a positive school climate and developing a fair and consistently enforced discipline system are fundamental steps in making school campuses safe.

SCHOOL CLIMATE

Research findings support the idea that school climate is an important variable in school improvement. Findings also indicate that schools with positive climates have higher achievement and lower dropout rates.

Elements of a Positive School Climate

- a clearly defined school mission developed and embraced by all stakeholders including students
- a drug-free, weapon-free, nurturing environment for all students; where success in school and life becomes the only attractive option
- strong academic goals for all students
- clear discipline standards that are fair and consistent with a "zero tolerance" toward violence
- positive, respectful staff-student relationships that empower students to take an active role in the development of school policies and rules
- positive parent and teacher expectations of students
- cultural inclusion, which includes acknowledgment of cultural and ethnic differences in lifestyles, values, and beliefs
- good communication between the members of the school population and between the community and school
- absence of over- and under-representation of minorities in certain school programs

DISCIPLINE SYSTEM

School discipline is the foundation of education and ensures a safe and peaceful environment in which to learn and work.

continues

A Safe and Orderly Learning Environment continued

Elements of a Successful Discipline System

- established rules with the use of rewards and sanctions to enforce rules (Incentive-based rules improve discipline better than punishment-based rules. Research indicates schools that have been identified as having had incidents of violent student behavior were more likely to have administered punitive methods of discipline. Reward-based discipline also builds trust and fosters a positive environment.)
- rehabilitative forms of discipline such as: in-school suspension, special day-long classes, behavior contracts, and conflict resolution.
- referral systems to appropriate community support agencies for students who have been identified as having a history of violent behavior.

SUCCESSFUL STRATEGIES TOWARD SAFE SCHOOLS

- Provide staff development programs for:
  - intervention skills for dealing with violent or potentially violent students
  - conflict resolution
  - first-aid
  - cultural diversity sensitivity
  - classroom management that promotes student self-discipline
  - instructional methods for heterogeneous, diverse classroom populations
  - a team approach to addressing problems of high-risk youth (Student Assistance Program)
- Increase school/parent/community communication and involvement by
  - offering parenting classes
  - including parents and community members on school committees
  - welcoming volunteer participation during student events
  - developing a working relationship and communications policy with media
- Develop an emergency preparedness plan. A plan should be developed in cooperation with law enforcement and emergency agencies and include staff-assigned responsibilities and school awareness.
- Provide campus security. Secure the building and grounds with a system for welcoming and identifying visitors.
- Identify student programs that enhance a safe environment.
  - Promote conflict resolution. Students are taught how to problem solve in a nonviolent way. Conflict is viewed as positive and as a behavior that can serve to enhance important relationships.
  - Emphasize peer mediation programs that focus on problem-solving.
  - Provide programs that give students an opportunity to say "no," and an incentive to stay off drugs.
  - Promote cultural diversity/sensitivity programs that help children explore their prejudices and learn how to get along with people whose backgrounds are different.
  - Provide alternative education programs that better address the students with special needs.
  - Develop positive decision making and refusal skills for risky behavior.

KEY STAFF ROLES TOWARD SAFE SCHOOLS

- *The Principal.* In promoting campus safety and a positive school climate, principals play a critical role. The principal's primary mission is to facilitate the teachers' efforts to organize the classroom for quality learning and exercise leadership in the development of a positive and healthy school climate. In addition to walking the halls and school grounds regularly, principals who have succeeded in creating peaceful schools out of previously violence-ridden campuses make themselves available to teachers, students, and parents and show a genuine interest in their students' lives and potential. They also emphasize prevention and nonviolent conflict resolution.
- *The Teacher.* The school climate variable most significantly related to student achievement is teacher expectations for student success and

continues

A Safe and Orderly Learning Environment continued

teachers' instructional goals. A critical ingredient in guiding children to act in a positive manner is the classroom teacher. School-discipline, climate, and teachers' attitudes toward reward and punishment are closely related. The use of positive discipline practices by teachers is important in promoting prosocial behavior. The classroom teacher can promote social harmony and a sense of peace or create just the opposite.

- *All School Staff.* The school must offer opportunities for students to engage in behaviors that benefit others and thereby promote helpful, responsible behavior through learning by participation.

Courtesy of Office of School Improvement, Florida Department of Education, Tallahassee, Florida.

How Safe Do You Feel at School?—A Middle School Student Survey

Please answer the following questions as part of a study we are conducting about school safety. What you tell us is very important, and may be used to improve the learning environment at your school. We do not need your name. Thank you.

Please circle Grade: 7th 8th Gender: Male Female Ethnic group: White Asian Black Ak Native Hispanic Am Indian

For each of the following statements, place an "X" in the box that best reflects your opinion.

	Nearly always (more than 90%)	Most of the time (about 75–90%)	Some of the time (about 50–75%)	Not very often (less than 50%)
1. My school provides a safe learning environment.				
2. I feel safe at school during after-school activities such as sports events or club meetings.				
3. I feel safe at socials held at my school (Answer only if you have attended socials at school.)				
4. I feel safe when riding the bus to and from school. (Answer only if you ride the bus.)				

5. Please rate each of the places listed here as to how safe you perceive them to be. Place an "X" in the box that best reflects your opinion.

	Very safe	Fairly safe	Not safe
Shopping mall			
Movie theater			
Your neighborhood			
Your school			
Public library			
Walking alone at night			

continues

How Safe Do You Feel at School? continued

6. I have seen or heard of students or others having *weapons* at school this year (not a police officer). Yes No
If yes, number of times: ___________
Type(s) of weapon(s): ___________

7. I have witnessed or been directly involved in *racially related problems* at my school this year. Yes No
If yes, number of times: ___________

8. I have witnessed or been directly involved in *violent situation(s)* at my school this year. Yes No
If yes, number of times: ___________
Type of situation: ___________

9. If I see an unsafe situation occurring at my school, I tell someone about it. Yes No
If yes, who do you tell? ___________
Number of times you have reported an unsafe situation: ___________
If no, why not? ___________

Please read each statement below and mark the box under the response that best reflects your opinion.

	Strongly Agree	Agree	Disagree	Strongly Disagree	Don't Know
10. Alcohol and other drugs are a factor in making my school an unsafe place.					
11. The safety and security of my school environment are threatened by the presence of particular groups or gangs of students.					
12. Student discipline policies are enforced at my school.					
13. The ways in which students are disciplined at my school are effective in reducing behavior problems.					
14. In-School Suspension is effective in reducing the number of unsafe situations at my school. (Answer only if your school has ISS.)					

continues

How Safe Do You Feel at School? continued

	Strongly Agree	Agree	Disagree	Strongly Disagree	Don't Know
15. Teachers and staff work together to make this school a safe place for students.					
16. Most unsafe situations that occur at my school are resolved.					
17. School staff closely monitor students to prevent unsafe incidents from occurring.					

18. What is the most serious unsafe situation that you have personally been involved in at your school? (If you have not been involved in an unsafe situation, move on to question 19.)

____

Where did the situation take place? (Be specific, such as the cafeteria, waiting for the bus, at a particular extracurricular activity, parking lot, hallway, etc.)

____

Was the situation resolved? _______________

19. Please tell us one way the safety at this middle school could be increased.

____

20. If you have additional comments regarding school safety, please write them below.

____

____

____

Thank you for filling out this survey.

Courtesy of Dr. Nicholas Stayrook, Director, Program Planning and Evaluation, Fairbanks North Star Borough School District, Fairbanks, Alaska.

Staff Survey on Behavior and Discipline

One of the goals of the school district is to ensure a safe learning environment for students. The purpose of this survey is to gather information from school staff regarding school safety. Results will be used to identify areas where school safety and security can be improved. A similar study was conducted during the 1993–94 school year, and it was felt that repeating the study would provide useful information.

Please return your completed survey to ______________________________. Your answers will remain confidential. Thank you.

Please circle your job category: Administrative Certificated Support Staff

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For each of the following statements, place an "X" in the box that best reflects your opinion.

	Nearly always (more than 90%)	**Most of the time (about 75–90%)**	**Some of the time (about 50–75%)**	**Not very often (less than 50%)**
1. The school where I work provides a safe learning environment for students.				
2. The school where I work provides a safe working environment for staff.				

3. I have seen or heard of students or others having *weapons* at school this year (not a police officer). Yes No
If yes, number of times: ___________
Type(s) of weapon(s): ___________

4. I have witnessed or been directly involved in *racially related problems* at my school this year. Yes No
If yes, number of times: ___________

5. I have witnessed or been directly involved in *violent situation(s)* at my school this year. Yes No
If yes, number of times: ___________

6. I have *reported* an unsafe situation occurring at my school this year.
If yes, number of times: ___________

continues

Staff Survey on Behavior and Discipline continued

Please read each statement below and mark the box under the response that best reflects your opinion.

	Strongly Agree	Agree	Disagree	Strongly Disagree	Don't Know
7. Alcohol and other drugs are a factor in making my school an unsafe place for students this year.					
8. The safety and security of my school environment are threatened by the presence of particular groups or gangs of students.					
9. Student discipline policies are enforced at my school.					
10. Discipline measures taken at my school are effective in reducing behavior problems.					
11. In-School Suspension is effective in reducing the number of unsafe situations at my school. (Answer only if your school has ISS.)					
12. I personally feel a shared responsibility in making sure school is a safe place for students and staff.					
13. Most staff members at my school feel a shared responsibility for making sure school is a safe place.					
14. In my experience most unsafe situations that occur at this school are resolved.					

continues

Staff Survey on Behavior and Discipline continued

	Strongly Agree	Agree	Disagree	Strongly Disagree	Don't Know
15. The school administration addresses incidents of violence, harassment, and appearance of weapons, drugs, and alcohol quickly.					
16. The school staff closely monitor students in order to prevent unsafe incidents from occurring.					

17. Please list specific locations in the school or on school grounds where you believe unsafe events take place most frequently. (Be specific, such as the cafeteria, waiting for the bus, at a particular extracurricular activity, parking lot, hallway, etc.)

18. Please tell us one way in which the level of safety at your school could be increased.

If you have additional comments regarding school safety, please either squeeze them in below or attach another piece of paper. Thank you.

Courtesy of Dr. Nicholas Stayrook, Director, Program Planning and Evaluation, Fairbanks North Star Borough School District, Fairbanks, Alaska.

Parent Questionnaire on School Safety/School Climate

Hello. My name is ____________________ and I'm calling from the school district. We are interested in your opinions regarding issues such as school safety at our middle school. Would you mind answering a few questions for us? Your answers will remain confidential, and no names will be used in any reports.

For each of the statements that I read, tell me if you "Strongly Agree," "Agree," "Disagree," "Strongly Disagree," or "Don't Know."

1. Teachers at this middle school have high expectations of my student.

   Strongly Agree   Agree   Disagree   Strongly Disagree   Don't Know

2. The concerns of parents are often considered in decisions made at the school.

   Strongly Agree   Agree   Disagree   Strongly Disagree   Don't Know

3. Students and staff have a positive working relationship with each other.

   Strongly Agree   Agree   Disagree   Strongly Disagree   Don't Know

4. Our school has responsive and professional teachers.

   Strongly Agree   Agree   Disagree   Strongly Disagree   Don't Know

5. The school office staff are courteous and helpful.

   Strongly Agree   Agree   Disagree   Strongly Disagree   Don't Know

6. The school is helping to provide necessary skills for students entering the work force after high school.

   Strongly Agree   Agree   Disagree   Strongly Disagree   Don't Know

7. Students are given an adequate amount of homework at an appropriate level of difficulty.

   Strongly Agree   Agree   Disagree   Strongly Disagree   Don't Know

8. I am satisfied with the level of educational technology available to my student at this middle school.

   Strongly Agree   Agree   Disagree   Strongly Disagree   Don't Know

9. This middle school is providing a quality education for my student.

   Strongly Agree   Agree   Disagree   Strongly Disagree   Don't Know

10. This middle school provides a safe environment for students.

    Strongly Agree   Agree   Disagree   Strongly Disagree   Don't Know

continues

Parent Questionnaire continued

(Ask #11 only if they disagree or strongly disagree with #10.)

11. What is one way that the level of safety at this school could be improved?

12. Student discipline policies are effective in reducing behavior problems at the school.

    Strongly Agree   Agree   Disagree   Strongly Disagree   Don't Know

13. The school staff closely monitor students in order to prevent unsafe incidents from occurring.

    Strongly Agree   Agree   Disagree   Strongly Disagree   Don't Know

14. This middle school does a good job communicating with parents.

    Strongly Agree   Agree   Disagree   Strongly Disagree   Don't Know

15. What could the middle school do to get parents more involved in their student's education?

16. Do you have any comments you'd like to add regarding school safety or the quality of education students receive at our middle school?

Thank you for your time. Survey results will be available this spring.

Courtesy of Dr. Nicholas Stayrook, Director, Program Planning and Evaluation, Fairbanks North Star Borough School District, Fairbanks, Alaska.

Student Satisfaction Survey

Please read each statement and place a check in the box indicating how much you agree or disagree with the statement about your school. Surveys can be turned in to your teacher.

Please circle Grade: 7th 8th Gender: Male Female Ethnic group: White Asian Black Ak Native Hispanic Am Indian

	Strongly Agree	Agree	Disagree	Strongly Disagree	Don't Know
1. I am challenged to do my best at school.					
2. Students and teachers at school get along well with each other.					
3. Teachers care about the progress I am making in my classes.					
4. The office staff are courteous and helpful.					
5. If students have a concern, they can talk about it with teachers, principals, and other school staff.					
6. Teachers have high expectations of me.					
7. New students are welcomed easily into this school.					
8. Going to school at this school helps me understand others and get along with people.					
9. If I am falling behind in my work, I can get the help I need.					
10. School rules at this school are reasonable.					
11. I enjoy attending school here.					

Courtesy of Dr. Nicholas Stayrook, Director, Program Planning and Evaluation, Fairbanks North Star Borough School District, Fairbanks, Alaska.

Staff Satisfaction Survey

Please read each statement and place a check in the box indicating how much you agree or disagree with the statement about your school. Please return your completed survey to ____________________ by ____________. Your answers will remain confidential.

Please circle your job category: Administrative Certificated Support Staff

	Strongly Agree	Agree	Disagree	Strongly Disagree	Don't Know
1. This school provides a positive work environment for the staff.					
2. This school provides a positive learning environment for the students.					
3. Students at school are challenged to do their best.					
4. Staff at school are challenged to do their best.					
5. Students and staff get along well with each other at school.					
6. Staff members get along well with each other at school.					
7. The staff care about the progress students are making in their classes.					
8. The office staff at school are courteous and helpful.					
9. The school administration is responsive to staff concerns.					
10. New students are welcomed easily into the school.					
11. For students, attending school here helps them understand others and get along with people.					

continues

Staff Satisfaction Survey continued

	Strongly Agree	Agree	Disagree	Strongly Disagree	Don't Know
12. School policies are clearly communicated to staff, students, and parents.					
13. School rules are reasonable.					
14. I enjoy working at this school.					

Courtesy of Dr. Nicholas Stayrook, Director, Program Planning and Evaluation, Fairbanks North Star Borough School District, Fairbanks, Alaska.

Elementary School Parent Satisfaction Survey

Directions to parents: Please read each statement and place a check in the box indicating the degree to which you agree or disagree with the statement about your child(ren)'s school. **Return completed surveys in the postage-paid envelope by** ____________. Thank you for your time. Results will be compiled and shared with the principal and staff so they can see how parents view their school.

Grade level(s) of your child(ren) attending this school: ___________

	Strongly Agree	Agree	Neutral/ Not Sure	Disagree	Strongly Disagree
1. My child enjoys attending this elementary school.					
2. Students and staff have a positive working relationship with each other.					
3. This school has high quality and professional teachers.					
4. The staff at school care about my child's progress in school.					
5. Communications between teachers and parents are effective.					
6. Communications between the principal and parents are effective.					
7. The office staff are courteous and helpful.					
8. The concerns of parents are reflected in the decisions made at the school.					
9. As a parent, I feel comfortable visiting and getting involved in my child's school.					
10. New students are welcomed easily into this school.					
11. Students are encouraged to understand and get along with other people.					

continues

Elementary School Parent Satisfaction Survey continued

	Strongly Agree	Agree	Neutral/ Not Sure	Disagree	Strongly Disagree
12. The school provides a safe learning environment for students.					
13. Student discipline is not a big problem at our school.					
14. Homework assignments are appropriate for students.					
15. The school does a good job of making parents aware of school rules.					
16. Teachers have high expectations of my child(ren) and challenge them to do their best.					
17. The school is doing a good job in teaching students language arts (reading, writing, speaking, listening, grammar, and spelling).					
18. The school is doing a good job in teaching students mathematics.					
19. The school is doing a good job in teaching students science.					
20. The school is doing a good job in teaching students social studies (geography, history, etc.).					
21. The school does a good job in teaching students computer skills.					
22. I am satisfied with the after-school learning activities offered at my child's school.					
23. Teachers let me know how I can help my child at home.					

continues

Elementary School Parent Satisfaction Survey continued

	Strongly Agree	Agree	Neutral/ Not Sure	Disagree	Strongly Disagree
24. The school building and grounds are attractive and well-maintained.					
25. Services provided by our counseling program are adequate for my child's needs.					
26. The school's programs adequately meet the needs of students with special needs.					

What do you like best about the school?

What do you like least, or what would you change?

Considering the issues covered in this survey, what overall grade would you give this school: A, B, C, D, or F? Why?

Return completed survey in the postage-paid envelope provided, or mail to: ____________________.
Feel free to enclose extra comments or suggestions on additional paper.

Courtesy of Dr. Nicholas Stayrook, Director, Program Planning and Evaluation, Fairbanks North Star Borough School District, Fairbanks, Alaska.

Middle School Parent Satisfaction Survey

Directions to parents: Please read each statement and place a check in the box indicating the degree to which you agree or disagree with the statement about your child(ren)'s school. **Return completed surveys in the postage-paid envelope by ____________.** Thank you for your time. Results will be compiled and shared with the principal and staff so they can see how parents view their school.

Grade level(s) of your child(ren) attending this school: ___________

	Strongly Agree	Agree	Neutral/ Not Sure	Disagree	Strongly Disagree
1. My child enjoys attending this middle school.					
2. Our school provides a variety of extra-curricular and athletic activities for students.					
3. Students and staff have a positive working relationship with each other.					
4. This school has high quality and professional teachers.					
5. The staff at school care about my child's progress in school.					
6. Communications between teachers and parents are effective.					
7. Communications between the principal and parents are effective.					
8. The office staff are courteous and helpful.					
9. The concerns of parents are reflected in the decisions made at the school.					
10. As a parent, I feel comfortable visiting and getting involved in my child's school.					

continues

Middle School Parent Satisfaction Survey continued

	Strongly Agree	Agree	Neutral/ Not Sure	Disagree	Strongly Disagree
11. New students are welcomed easily into this school.					
12. Students are encouraged to understand and get along with other people.					
13. Student discipline is not a big problem at our school.					
14. Homework assignments are appropriate for students.					
15. The school does a good job of making parents aware of school rules.					
16. Teachers have high expectations of my child(ren) and challenge them to do their best.					
17. The school is doing a good job in teaching students language arts (reading, writing, speaking, listening, grammar, and spelling).					
18. The school is doing a good job in teaching students mathematics.					
19. The school is doing a good job in teaching students science.					
20. The school is doing a good job in teaching students social studies (geography, history, etc.).					
21. The school does a good job in teaching students computer skills.					
22. I am satisfied with the after-school learning activities offered at my child's school.					

continues

Middle School Parent Satisfaction Survey continued

	Strongly Agree	Agree	Neutral/ Not Sure	Disagree	Strongly Disagree
23. Teachers let me know how I can help my child at home.					
24. The school building and grounds are attractive and well-maintained.					
25. Services provided by our counseling program are adequate for my child's needs.					
26. The school's programs adequately meet the needs of students with special needs.					
27. The school provides a safe learning environment for students.					
28. The way teachers team-teach students at middle school is beneficial to my child(ren).					

What do you like best about the school?

What do you like least, or what would you change?

Considering the issues covered in this survey, what overall grade would you give this school: A, B, C, D, or F? Why?

Return completed survey in the postage-paid envelope provided, or mail to: ____________________. Feel free to enclose extra comments or suggestions on additional paper.

Courtesy of Dr. Nicholas Stayrook, Director, Program Planning and Evaluation, Fairbanks North Star Borough School District, Fairbanks, Alaska.

High School Parent Satisfaction Survey

Directions to parents: Please read each statement and place a check in the box indicating the degree to which you agree or disagree with the statement about your child(ren)'s school. **Return completed surveys in the postage-paid envelope by** ____________. Thank you for your time. Results will be compiled and shared with the principal and staff so they can see how parents view their school.

Grade level(s) of your child(ren) attending this school: __________

	Strongly Agree	Agree	Neutral/ Not Sure	Disagree	Strongly Disagree
1. This high school provides the necessary skills for students entering the work force after graduation.					
2. Our school adequately prepares students to continue their education after high school.					
3. My student enjoys attending this school.					
4. Our school provides a variety of extra-curricular and athletic activities for students.					
5. Students and staff have a positive working relationship with each other.					
6. This school has high quality and professional teachers.					
7. The staff at school care about my child's progress in school.					
8. Communications between teachers and parents are effective.					
9. Communications between the principal and parents are effective.					
10. The office staff are courteous and helpful.					

continues

High School Parent Satisfaction Survey continued

	Strongly Agree	Agree	Neutral/ Not Sure	Disagree	Strongly Disagree
11. The concerns of parents are reflected in the decisions made at the school.					
12. As a parent, I feel comfortable visiting and getting involved in my child's school.					
13. New students are welcomed easily into the school.					
14. Students are encouraged to understand and get along with other people.					
15. Student discipline is not a big problem at our school.					
16. Homework assignments are appropriate for students.					
17. The school does a good job of making parents aware of school rules.					
18. Teachers have high expectations of my child(ren) and challenge them to do their best.					
19. The school is doing a good job in teaching students language arts (reading, writing, speaking, listening, grammar, and spelling).					
20. The school is doing a good job in teaching students mathematics.					
21. The school is doing a good job in teaching students science.					

continues

High School Parent Satisfaction Survey continued

	Strongly Agree	Agree	Neutral/ Not Sure	Disagree	Strongly Disagree
22. The school is doing a good job in teaching students social studies (geography, history, etc.).					
23. The school is doing a good job in teaching electives (art, music, foreign language, etc.).					
24. Teachers at school do a good job in teaching students computer skills.					
25. The school offers quality vocational education classes.					
26. Teachers let me know how I can help my child at home.					
27. The school building and grounds are attractive and well-maintained.					
28. Services provided by our counseling program are adequate for my child's needs.					
29. The school's programs adequately meet the needs of students with special needs.					
30. The school provides a safe learning environment for students.					

What do you like best about this school?

What do you like least, or what would you change?

continues

High School Parent Satisfaction Survey continued

Considering the issues covered in this survey, what overall grade would you give this school: A, B, C, D, or F? Why?

Return completed survey in the postage-paid envelope provided, or mail to: ________________________. Feel free to enclose extra comments or suggestions on additional paper.

Courtesy of Dr. Nicholas Stayrook, Director, Program Planning and Evaluation, Fairbanks North Star Borough School District, Fairbanks, Alaska.

PARENT AND COMMUNITY RELATIONS

CREATING A PUBLIC ENGAGEMENT PLAN*

Publicity is key. How else will the community find out about your event and partnership? The following pages provide a guide to working with local and state officials and with the media. Recruit volunteers who have experience with both to help you navigate.

Make It Official

Involve local and state officials in your America Goes Back to School event and partnership. Their support and recognition will increase the visibility and the strength of your event and partnership. Here is some information to help you obtain a proclamation or a resolution for America Goes Back to School at the state, city, and school board level.

Local Proclamations

Ask a local official to issue an America Goes Back to School proclamation declaring an America Goes Back to School month, week, or day in your city or community. Draft a proclamation and send it with a cover letter explaining the significance of America Goes Back to School. Indicate your interest in meeting with the official and make an appointment. For the signing, work with the official's staff to alert media. Arrange to have a photographer at the signing and distribute the photo to local papers. Be sure to display your proclamation at America Goes Back to School events and reproduce it in newsletters and programs.

State Resolutions

Ask your state superintendent of schools, state legislature, state representative, or governor to endorse America Goes Back to School events by passing a resolution recognizing the importance of developing partnerships among families, schools, communities, and employers to help children learn.

Make It Big

Along with local and state officials, local celebrities can also help increase the visibility of your event and partnership. Enlist the support of area sports teams, newscasters, artists, and authors, business CEOs, religious leaders, a local university president, the school superintendent, and others in your community with wide name recognition. They can help by participating in America Goes Back to School events; by mentioning your event and partnership when speaking to groups and to the press; by wearing any promotional merchandise you may design, such as a T-shirt or button; and by lending their name as an official sponsor of your event and partnership. Use quotes from your celebrities in flyers, articles or speeches.

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*Source: *America Goes Back to School*, U.S. Department of Education, Washington, D.C., 1998.

Approach the celebrity or the celebrity's assistant with a pitch for why he or she would want to get involved and how he or she could be an important part of your event or partnership. Local celebrities are often very interested in helping their local communities and may be flattered by the request. It's a "win-win" situation for everyone. Appoint an official or a local celebrity as the America Goes Back to School honorary chairperson.

Make It Known

Public engagement is one way of letting your audience know about your America Goes Back to School event and partnership, what its purpose is, who's involved, and how others can get involved. The media can take your message to thousands of people at once.

Getting your story out through the media can help you with the following:

- Recruit participants, volunteers, and audiences.
- Educate the public about the event and partnership.
- Highlight what's happening in your community in support of children's learning.

Effective relations with the media can greatly enhance the impact of your event and partnership. Reaching the news media starts with doing some homework and planning a strategy. When making decisions about media outreach, remember that you've got a lot of newsworthy competition. Several characteristics make information newsworthy.

Reporters and editors respond best to timely news stories and ideas that include the following:

- *Local interest.* You always have a better chance of making the news if your story is based in the community, centered on a local activity or individual.
- *Widespread appeal.* People respond to stories that involve a topic currently in the news, such as getting ready to go back to school, or a common human characteristic (for example, courage or triumph over adversity) shown in a new way.
- *A local angle to a national story.* State and local reporters like using a "hook" to illustrate the significance of a national story to their audience. Your hook would be the connection of your event and partnership to the national America Goes Back to School initiative and the thousands of other events and partnerships happening all across the country.

When planning events and activities, consider the most appealing way to present them to reporters. Think about developing a succinct message or pitch—a few words that will convince the media that your story is important and newsworthy. Press coverage could begin with the appointment of the America Goes Back to School chairperson or the signing of a mayoral proclamation and continue with a series of news releases describing various events.

Make Contact

In working with the media, remember that every editor, reporter, and producer is a professional whose primary task is to present important and interesting information to the public. Your material should be relevant, timely, and interesting. Prove that you are a reliable source of information for your partnership. If a member of your group has a personal contact with the media, use it!

Public Information Outlets

Billboards and Banners

Businesses and community organizations can help publicize your events by sponsoring a billboard, hanging a banner, or posting a flier. Bank and hotel lobbies, restaurants, store windows and bulletin boards, electronic billboards at ball games, libraries, community centers, doctors' offices (especially the orthodontist), local YMCAs and YWCAs—any place that the public visits regularly—make great places for advertising your events and partnership.

Newspapers

Newspapers provide in-depth coverage of stories, and they include regular news and features, editorials, commentaries, letters to the editor, investigative reports, and opinion columns. Think about how you can get your message across in each of these different sections. Print reporters spend a great deal of time learning about and explaining complex issues. They appreciate all the documentation, facts, and figures you can provide. In addition to daily newspapers, don't forget weekly newspapers, which are a major source of information for people outside of metropolitan areas, and college newspapers.

Magazines

Stories of interest to magazines include profiles of interesting people, trends, or exceptional performance in some area. Articles in special interest publications or in trade and professional journals reach specific, key audiences that can be important to your partnership and event. When approaching such publications, you should tailor each story to the specific audience. Remember that most magazines work with a lead time of several months.

Television

Television provides several opportunities for airing your message: feature segments, public service announcements, local news programs, public affairs programs, talk shows, editorial comment, and local cable television shows and public access TV. Your message for television must be short and simple. Television segments and public service announcements usually last 30 to 60 seconds. The assignment editor in a TV news department generally assigns reporters to cover stories one day in advance. Inform the assignment editor and reporters of scheduled events in advance with a media advisory and follow-up call. Be sure to tape an on-air piece on the VCR, so you'll have a copy handy to share with others.

Radio

Most radio stations tailor their programming to a very specific audience (for example, older adults or minorities), so you'll want to tailor your message accordingly. Radio stations usually need at least two weeks' notice to air an announcement. Talk radio is also a great way to let people know about your event and partnership.

Public Information Materials and Activities

Fact Sheets

One of the first things you will want to do is create a simple, easy-to-read one-page summary of your event and partnership. As you generate interest, you'll need something handy to pass out with general information on the project and, more importantly, contact information. Use a "who, what, when, where, why, and how" format. Include a contact name, address, phone and fax numbers, and e-mail and Web addresses if possible. Pass the fact sheet out at meetings, send it home with students, use it in mailings, post it on bulletin boards. Distribute flyers at churches, community centers, hair salons, doctors' offices—anywhere people come together. The fact sheet is your first and easiest publicity tool.

Press Releases

A press release is a succinct account of your story (usually one page) and should be written as a news article. You can use a press release to publicize an event or your partnership, announce an upcoming activity, or report news relevant to your event and partnership. Newspaper editors often use portions of press releases in their stories. Have a colleague read over the press release to make sure you included all the important details and to catch any spelling or grammatical errors.

Media Advisory

A media advisory is an alert to the media about an upcoming event (for example, a press conference, awards ceremony, or parade). A media advisory is written in the style of a press release but is much shorter and to the point. The headings who, what, when, where and why are commonly used to organize the information and make it stand out. Advisories should be faxed to reporters about three to five days before an event and followed up with a call to confirm reporters' attendance or to offer additional information. Be sure to include detailed information on where the event is to be held, including directions if necessary.

Letters to the Editor

Letters to the editor offer a ready vehicle for discussing an education issue, for example, the value of setting high standards in the school curriculum. Summon all your persuasive powers, but be precise and get to your point without wasting words—one typed page is usually enough. Sign your letter and include your address and telephone number. Your personal information will not be published but may be used for verification by the editor. It may seem obvious, but remember to address your letter to "Letters to the Editor."

Photographs

Photos generally fall into two classes: news photos and feature photos. News pictures may tell a story themselves while feature photos may supplement newspaper stories about events, individuals, or activities such as concerts, parades, and workshops. Newspapers prefer to receive pictures with news stories.

Public Service Announcements

Public service announcements (PSAs) are short messages that radio and television stations air free of charge on behalf of the public interest. Many radio stations are happy to run PSAs for school events. In addition, some TV stations air a community bulletin board of events. Some will even help you produce the PSA. The key is to contact the public service directors of your radio and TV stations early to see what arrangements can be made. Usually, stations need at least two weeks' notice to run an existing PSA.

Press Conferences

Press conferences should be held only if you have major news to announce. A press conference would be appropriate for the following:

- the announcement of the chairperson and steering committee of your America Goes Back to School event
- the signing of a proclamation by the mayor or a school board resolution
- the launch of a new year-round partnership or activity through America Goes Back to School
- the release of survey results or a new study on education to your community, perhaps around one of the five key areas in education

Press Kits

A press kit is a set of materials that provides the information a reporter needs to write an accurate article. Press kits can be sent anytime to reporters; however, they should always be on hand at press conferences and other special events. Among the materials you may wish to include are press releases, fact sheets, partnership brochures, an agenda for an event or press conference, biographical sketches of speakers or participants, photos of speakers or participants, a copy of your latest newsletter, any other important program information (including details of upcoming America Goes Back to School events), and your contact information.

Activities Calendar

Most papers print an activities calendar regularly. Many people in your community use it as a quick reference for things to do in their free time. Find out deadlines and the person in charge of the calendar so you can gain the widest publicity for America Goes Back to School and related events.

Banners, Posters, and Fliers

Ask a local graphic design or printing firm to donate services and materials to create banners, posters, and fliers to post around your community. Or ask children in a local summer program to design and create unique, one-of-a-kind advertisements for your events and partnership.

The Web

Think about setting up a Web page for your event or partnership. Approach a local Internet/computer group about developing and hosting a Web site for you. Then ask local businesses, community organizations, and schools to link to the Web site from their own sites. For business people and home computer users, the Web is a convenient way to get information about your event and partnership. Ask your local Web service provider to link its Web page to your site during the week or month of your event. This could help attract people to your Web site who might not otherwise know about your event.

SAMPLE MEDIA MATERIALS AND TIPS

SAMPLE FACT SHEET

America Goes Back to School is a nationwide initiative that encourages parents, grandparents, community leaders, employers and employees, members of the arts community, religious leaders, and every caring adult and young person to take a more active role in improving education in their communities.

Thirty years of research show that when children can count on their family and community, in addition to their teachers, for involvement in their education, it makes a significant difference in their learning. A survey by *Money* magazine found that the factor determining the best school districts in the country was the amount of support received from parents and the community. America Goes Back to School focuses attention on improving education across America during the back-to-school period of August through October. With the support of the U.S. Department of Education and members of the Partnership for Family Involvement in Education, thousands of America Goes Back to School events have taken place across the nation, in every state, since the effort began in 1995.

Who Can Get Involved?

You can! Families, schools, colleges and universities, employers, and community, cultural, and religious organizations, or any caring adult or young person—everyone has something to offer, something to share, and something to gain by participating in America Goes Back to School.

What Can You Do To Participate?

Spend time reading to a child. Educate students to prevent substance abuse. Recruit and organize tutors. Mentor a child in math. Help start or expand an after-school program. Sponsor career days and internships at work sites. Plan an event that connects middle and high school students with colleges. Volunteer your time to assist teachers. Use your own talents and resources to get involved and stay involved!

When Does America Goes Back to School Take Place?

All year long! Our focus is on the back-to-school months of August through October, when people make or renew their year-long commitments to get involved.

How Do You Get Involved?

To find out more information about hosting an America Goes Back to a School event or to let us know what you are doing, call 1-800-USA-LEARN or visit the America Goes Back to School Web site at www.ed.gov/Family/agbts.

continues

Sample Media Materials and Tips continued

SAMPLE PRESS RELEASE

For Immediate Release

Contact: Name, Chairperson America Goes Back to School Month

Address/Phone Number

AMERICA GOES BACK TO SCHOOL ANYWHERE U.S.A.

August 1998

August 1998 marks the fourth annual national celebration of America Goes Back to School. America Goes Back to School focuses public attention on education during the back-to-school months of August through October. Communities all across America are getting everyone involved in making education better for children. This year's challenge to families and all caring Americans is to get involved and stay involved through a year-round commitment to children's learning.

Each year, U.S. Secretary of Education Richard W. Riley chairs the celebration. This year's co-chairs, Tipper Gore, National PTA President Lois Jean White, and Jane Pauley, will be joined by parents, educators, and the thousands of family, school, education, business, community and religious members of the Partnership for Family Involvement in Education in helping America go back to school.

(Chairperson's name), member of the (state or local association), is coordinating the America Goes Back to School celebration in (school and community name). During America Goes Back to School, (organization name) will promote family and community involvement in education by (list activities). Everyone is invited to volunteer in a school, to tutor kids in reading or math, to share personal talents or experiences through a guest lecture or activity, to provide a workplace internship to a student, or to help with a school or college fundraiser. Some of the planned events are (list of proposed activities with dates, times, locations, and contact person's names and phone number).

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SAMPLE LETTER TO THE EDITOR

Dear Editor:

As the students of (your local community) head back to school, we all need to think about what each of us can do to help them receive a high-quality education. The students of today are the people who are going to be working in our community, taking care of us, and leading our country in the future. We all have an interest in making sure that they become as well educated and well prepared as possible.

The back-to-school time is an excellent time for people to get involved in education. Everyone can contribute something—parents and families, grandparents and senior citizens, members of community and cultural organizations, employers and employees. Every caring adult, and even older students, can play a role in improving education.

(Add a paragraph about your event and let people know how they can get involved.)

I encourage everyone to contact a local school and ask what you can do to help. Find an organization or a project already working with students and get involved. Do something now, because better education is everybody's business!

Sincerely,

(Your name, title and address)

SAMPLE PUBLIC SERVICE ANNOUNCEMENT (APPROXIMATELY 60 SECONDS EACH)

Announcement 1

Announcer: What can make a difference in children's learning? You can. Do you sing in the shower? Help children enjoy music in an afterschool program. Go see the marching band's halftime show.

Do you surf the Internet? Help students and teachers learn how to use the Internet to find useful information.

Do you read books? Share a book with a child through a reading tutoring program.

Do you take out the trash? Volunteer to help keep the school building and school grounds clean, safe, and attractive.

continues

Sample Media Materials and Tips continued

Make improving education a part of your daily routine. Whatever your skills, talents, and experiences, you can help support children's learning. Call your local school to find out how you can help. C'mon America ... let's go back to school!

Announcement 2

Announcer: Picture that special child in your life. Are you a parent? Grandparent? Aunt or uncle? Brother or sister? Family friend? Babysitter? Neighbor? Then you know what makes a difference in children learning. *You do.* But did you know that the three most influential factors in student achievement are: the student's attendance in school; the availability of books, newspapers, and magazines in the home; and the amount of television the student watches.

These are all things over which families have some control. Family and community involvement makes a real difference in children's learning. Contact your local school to find out what you can do to help children learn. C'mon America ... let's go back to school!

Announcement 3

Announcer: Those students you see on your way to work every morning—waiting for the school bus. Walking to school. Riding their bikes. Waiting at the stoplight next to you. One of them might teach your grandchildren or your grandchildren's children someday. One of them might patrol your neighborhood at night. One might write the sports column in the newspaper. One of them might work for you. You might even vote for one of those kids someday for mayor or senator or president.

We don't know yet what's ahead for these students and for ourselves. Help make sure that today's students are prepared for tomorrow's world. Contact your local school to find out how you can help. Or call the Education Excellence Partnership at 1-800-382-3762 for a copy of their booklet on standards. C'mon America ... lets go back to school!

HELPFUL TIPS WHEN DEALING WITH THE MEDIA

Guidelines for Writing a Press Release

- Type the release double-spaced, with one-inch margins on one side of an 8½ × 11 inch paper.
- In the top left-hand corner, type "FOR IMMEDIATE RELEASE."
- In the top right-hand corner, list telephone number(s) of the contact person.
- Center the headline above the body of the release. Keep the headline short and concise and type it in BOLD CAPITAL LETTERS.
- Begin the main body of the release with a dateline (city of origin and date) in all capital letters.
- Include who, what, when, where, and why in the first two paragraphs. Use short paragraphs.
- Limit the release to one page if possible. If not, type "MORE" at the bottom of the first page. On page two in the upper lefthand corner, type a short derivative of the main title in all capital letters.
- End the release by typing "###" or "-30-" in the center of the bottom of the last page.
- Attach a personal note on the release to grab the reader's attention.
- Always check your spelling!

Guidelines for Submitting Photos

When submitting photos, remember:

- Most newspapers prefer 5" × 7" black and white, glossy photos with borders.
- Color photos and Polaroid shots are not acceptable.
- Pictures should be in sharp focus with good contrast between black and white.
- A single point of interest is essential. Eliminate unnecessary details.
- Captions should clearly explain picture content. Tell who is doing what, when, and where. Be sure to mention America Goes Back to School and your school's name. Tape the caption to the

continues

Sample Media Materials and Tips continued

back of the picture, so that it falls just below the photo for easy reading.

- Do not write on the back of the picture; this may damage it.
- Both vertical and horizontal shots should be submitted. The variety will produce a more attractive layout.
- A piece of cardboard needs to be included with each photo for protection. If the photo becomes bent, creased, or marred, it will not be usable. Write "PHOTO ENCLOSED DO NOT BEND" on the outside of the envelope.
- Negatives should be saved since photos are rarely returned.

Guidelines for Public Service Announcements

When writing a Public Service Announcement, remember:

- Broadcast copy is written and designed for the ear. Keep in mind that broadcast copy should:
  - –Sound personal and have a sense of immediacy.
  - –Be clear, concise, conversational, and correct.
  - –Use the active voice and present tense whenever possible.
  - –Use contractions just as you would if talking.
  - –Tell listeners (viewers) how to get more information.
- Be sure to fit your message in the time slot allotted.
  - –10 seconds—about 25 words
  - –30 seconds—about 75 words
  - –60 seconds—about 150 words
- Determine which stations serve your community, contact their public service director, explain what America Goes Back to School is and the importance of family and community involvement in the five critical areas in education, describe your PSA script, and ask whether the stations would be willing to air the spot.

Tips for Running a Press Conference

- Notify the press at least one day before the event.
- Follow up with phone calls to reporters.
- Limit the press conference to a half hour.
- Select a convenient and relevant location with adequate room (choose a rain site if outdoors).
- Make sure there are plenty of electrical outlets for reporters' equipment.
- Provide a lectern with microphones.
- Display your America Goes Back to School logo where cameras will pick it up.
- Plan a minute-by-minute logistics sheet with speaking order, arrival and departure times of special guests, and last-minute details.
- Reserve the front section for media. Provide chairs for reporters, name cards for speakers, and an easel for colorful visual aids, such as charts and graphs.
- Make a press kit available with background materials on the speakers, the event, and the partnership.
- Provide a media sign-in sheet so you can follow up with reporters who attend. Be sure to ask for phone and fax numbers.
- Conduct a question-and-answer session at the end.
- Prepare talking points for the speakers.
- Select one person to greet the press and help with any requests.
- Take plenty of photographs and record the press conference if possible on audio or videotape.
- Ask the most well-known speakers to be available for interviews with the press and help reporters set up interviews.

Source: *America Goes Back to School*, U.S. Department of Education, Washington, D.C., 1998.

STRATEGIES THAT ENHANCE PARENT AND FAMILY INVOLVEMENT

The 1996 Florida Legislature amended S 229.591, Florida Statutes. This amendment added a goal to Florida's System of School Improvement and Accountability, Goal 8—Parental Involvement. The law now reads: "*Communities, school boards, and schools provide opportunities for involving parents and guardians as active partners in achieving school improvement and education accountability.*

PRINCIPLES OF PARENT AND FAMILY INVOLVEMENT PROGRAMS AND STRATEGIES (Flaxman and Inger, 1991; SERVE)

- Parent involvement is most effective when it is comprehensive, well planned, and long lasting.
- Parent involvement should be developmental and preventive, an integral part of a school improvement strategy, rather than a remedial intervention.
- Parents do not have to be formally educated to help themselves and their children.
- Children from low-income and minority families have the most to gain when schools involve their families.

STRATEGIES FOR ENHANCING PARENT AND FAMILY INVOLVEMENT

- Help families develop parenting skills necessary to provide for their children.
  - –Offer parents classes on children's health.
  - –Provide an in-school resource center for parents.
  - –Offer ongoing workshops on parenting skills.
  - –Prepare videos on child care issues for parents to check out.
  - –Offer classes in preparing for the test of General Educational Development (GED) or English for Speakers of Other Languages (ESOL).
  - –Develop a survey for parents to assess their parenting skill needs and implement services to address these needs.
- Establish positive parent communications by implementing effective forms of school-to-home and home-to-school communications about school programs and children's progress.
  - –Develop a formal family outreach plan for your entire school.
  - –Hold regular parent/teacher/student conferences with every parent where student's strengths and weaknesses are discussed and goals for the child are collaboratively set.
  - –Make regular home visits to families with preschool children utilizing volunteers.
  - –Conduct parent meetings and conferences at times that accommodate family schedules.
  - –Establish bilingual hotlines for families.
  - –Send home weekly or monthly folders of students' work, eliciting family comments.
  - –Encourage families to visit the school at all times.
  - –Survey the community to identify good meeting times and announce meeting times well in advance.
  - –Showcase students' achievements at times when families can participate.
- Recruit and organize parental involvement at school.
  - –Survey parents to find out how they would like to be involved.
  - –Recruit parents to read with students.
  - –Encourage parents as student supervisors during activities such as field trips and after-school programs.
  - –Ask parents to assist with classroom projects and activities.
  - –Encourage parent attendance at school events with ample advertisement.
  - –Recruit parents for positions within the school such as clerical assistants and teacher assistants.
  - –Use parent volunteers to help with bilingual needs.
  - –Recruit parents to train other volunteers.
  - –Recruit parents to help with understanding of multicultural needs.
- Provide information and ideas to families about how to help students at home with homework and other curriculum-related activities, decisions, and planning.
  - –Help all families establish home environments to support children as students.
  - –Ask parents to read with their children.
  - –Ask parents to watch television with their children and discuss what is viewed.
  - –Provide a handbook filled with everyday learning activities for the home.
  - –Provide a homework assistance system.

continues

Strategies That Enhance Parent and Family Involvement continued

- Include parents in school decisions, developing parent leaders and representatives. It is important to include not only parents involved in School Advisory Councils or Parent Teacher Associations, but also parents not actively involved in school activities.
  - Utilize focus groups involving all stakeholders to help determine school policy on problem issues.
  - Provide training for parents pertaining to school issues.
  - Develop a written policy identifying parents' and families' roles within the school.

CHECKLIST FOR IMPROVING PARENTAL INVOLVEMENT

1. There is a place in the building for parents to gather informally.
2. The office has a friendly, informal atmosphere.
3. Parents are viewed by school staff as an asset.
4. Efforts are made to involve culturally diverse parents.
5. Communication between teachers and parents is effective.
6. The atmosphere in the school is not bureaucratic.
7. There are clearly defined policies regarding parental involvement in this school.
8. There is a schoolwide homework policy in place.
9. There is an inservice program for staff that addresses parental involvement.
10. School staff are aware of cultural and language barriers.
11. Training programs for parents are available.
12. Parents are truly empowered to make decisions in this school.
13. Families are a priority in this school.
14. The businesses in the community are involved in the school.
15. Community involvement is evident in this school.
16. Parents are asked about their children's thinking and behavior.
17. Parents routinely work in classrooms with children on learning activities.
18. Parents in this community advocate for children's rights.
19. Parents are promptly notified about problems with their children.

References

Flaxman, E. and M. Inger, Parents and Schooling in the 1990s, *The ERIC Review,* Vol. 1:3.

SERVE. *Families and Schools: An Essential Partnership.* Greensboro, North Carolina: 1996.

Courtesy of Office of School Improvement, Florida Department of Education, Tallahassee, Florida.

Chapter 4

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Chapter 4

Evaluation

STANDARDS, POLICIES, AND PROCEDURES

INTERSTATE SCHOOL LEADERS LICENSURE CONSORTIUM (ISLLC) STANDARDS FOR SCHOOL LEADERS

STANDARD 1

A school administrator is an educational leader who promotes the success of all students by facilitating the development, articulation, implementation, and stewardship of a vision of learning that is shared and supported by the school community.

Knowledge

The administrator has knowledge and understanding of the following:

- learning goals in a pluralistic society
- the principles of developing and implementing strategic plans
- systems theory
- information sources, data collection, and data analysis strategies
- effective communication
- effective consensus-building and negotiation skills

Dispositions

The administrator believes in, values, and is committed to the following:

- the educability of all
- a school vision of high standards of learning
- continuous school improvement
- the inclusion of all members of the school community
- ensuring that students have the knowledge, skills, and values needed to become successful adults
- a willingness to continuously examine one's own assumptions, beliefs, and practices
- doing the work required for high levels of personal and organization performance

continues

ISLLC Standards continued

Performances

The administrator facilitates processes and engages in activities that ensure the following:

- The vision and mission of the school are effectively communicated to staff, parents, students, and community members.
- The vision and mission are communicated through the use of symbols, ceremonies, stories, and similar activities.
- The core beliefs of the school vision are modeled for all stakeholders.
- The vision is developed with and among stakeholders.
- The contributions of school community members to the realization of the vision are recognized and celebrated.
- Progress toward the vision and mission is communicated to all stakeholders.
- The school community is involved in school improvement efforts.
- The vision shapes the educational programs, plans, and activities.
- An implementation plan is developed in which objectives and strategies to achieve the vision and goals are clearly articulated.
- Assessment data related to student learning are used to develop the school vision and goals.
- Relevant demographic data pertaining to students and their families are used in developing the school mission and goals.
- Barriers to achieving the vision are identified, clarified, and addressed.
- Needed resources are sought and obtained to support the implementation of the school mission and goals.
- Existing resources are used in support of the school vision and goals.
- The vision, mission, and implementation plans are regularly monitored, evaluated, and revised.

STANDARD 2

A school administrator is an educational leader who promotes the success of all students by advocating, nurturing, and sustaining a school culture and instructional program conducive to student learning and staff professional growth.

Knowledge

The administrator has knowledge and understanding of the following:

- student growth and development
- applied learning theories
- applied motivational theories
- curriculum design, implementation, evaluation, and refinement
- principles of effective instruction
- measurement, evaluation, and assessment strategies
- diversity and its meaning for educational programs
- adult learning and professional development models
- the change process for systems, organizations, and individuals
- the role of technology in promoting student learning and professional growth
- school cultures

Dispositions

The administrator believes in, values, and is committed to the following:

- student learning as the fundamental purpose of schooling
- the proposition that all students can learn
- the variety of ways in which students can learn
- lifelong learning for self and others
- professional development as an integral part of school improvement
- the benefits that diversity brings to the school community
- a safe and supportive learning environment
- preparing students to be contributing members of society

Performances

The administrator facilitates processes and engages in activities that ensure the following:

- All individuals are treated with fairness, dignity, and respect.

continues

ISLLC Standards continued

- Professional development promotes a focus on student learning consistent with the school vision and goals.
- Students and staff feel valued and important.
- The responsibilities and contributions of each individual are acknowledged.
- Barriers to student learning are identified, clarified, and addressed.
- Diversity is considered in developing learning experiences.
- Lifelong learning is encouraged and modeled.
- There is a culture of high expectations for self, student, and staff performance.
- Technologies are used in teaching and learning.
- Student and staff accomplishments are recognized and celebrated.
- Multiple opportunities to learn are available to all students.
- The school is organized and aligned for success.
- Curricular, co-curricular, and extra-curricular programs are designed, implemented, evaluated, and refined.
- Curriculum decisions are based on research, expertise of teachers, and the recommendations of learned societies.
- The school culture and climate are assessed on a regular basis.
- A variety of sources of information is used to make decisions.
- Student learning is assessed using a variety of techniques.
- Multiple sources of information regarding performance are used by staff and students.
- A variety of supervisory and evaluation models is employed.
- Pupil personnel programs are developed to meet the needs of students and their families.

STANDARD 3

A school administrator is an educational leader who promotes the success of all students by ensuring management of the organization, operations, and resources for a safe, efficient, and effective learning environment.

Knowledge

The administrator has knowledge and understanding of the following:

- theories and models of organizations and the principles of organizational development
- operational procedures at the school and district level
- principles and issues relating to school safety and security
- human resources management and development
- principles and issues relating to fiscal operations of school management
- principles and issues relating to school facilities and use of space
- legal issues impacting school operations
- current technologies that support management functions

Dispositions

The administrator believes in, values, and is committed to the following:

- making management decisions to enhance learning and teaching
- taking risks to improve schools
- trusting people and their judgments
- accepting responsibility
- high-quality standards, expectations, and performances
- involving stakeholders in management processes
- a safe environment

Performances

The administrator facilitates processes and engages in activities that ensure the following:

- Knowledge of learning, teaching, and student development is used to inform management decisions.
- Operational procedures are designed and managed to maximize opportunities for successful learning.

continues

ISLLC Standards continued

- Emerging trends are recognized, studied, and applied as appropriate.
- Operational plans and procedures to achieve the vision and goals of the school are in place.
- Collective bargaining and other contractual agreements related to the school are effectively managed.
- The school plant, equipment, and support systems operate safely, efficiently, and effectively.
- Time is managed to maximize attainment of organizational goals.
- Potential problems and opportunities are identified.
- Problems are confronted and resolved in a timely manner.
- Financial, human, and material resources are aligned to the goals of schools.
- The school acts entrepreneurally to support continuous improvement.
- Organizational systems are regularly monitored and modified as needed.
- Stakeholders are involved in decisions affecting schools.
- Responsibility is shared to maximize ownership and accountability.
- Effective problem-framing and problem-solving skills are used.
- Effective conflict resolution skills are used.
- Effective group-process and consensus-building skills are used.
- Effective communication skills are used.
- There is effective use of technology to manage school operations.
- Fiscal resources of the school are managed responsibly, efficiently, and effectively.
- A safe, clean, and aesthetically pleasing school environment is created and maintained.
- Human resource functions support the attainment of school goals.
- Confidentiality and privacy of school records are maintained.

STANDARD 4

A school administrator is an educational leader who promotes the success of all students by collaborating with families and community members, responding to diverse community interests and needs, and mobilizing community resources.

Knowledge

The administrator has knowledge and understanding of the following:

- emerging issues and trends that potentially impact the school community
- the conditions and dynamics of the diverse school community
- community resources
- community relations and marketing strategies and processes
- successful models of school, family, business, community, government and higher education partnerships

Dispositions

The administrator believes in, values, and is committed to the following:

- schools operating as an integral part of the larger community
- collaboration and communication with families
- involvement of families and other stakeholders in school decision-making processes
- the proposition that diversity enriches the school
- families as partners in the education of their children
- the proposition that families have the best interests of their children in mind
- resources of the family and community needing to be brought to bear on the education of students
- an informed public

Performances

The administrator facilitates processes and engages in activities that ensure the following:

- High visibility, active involvement, and communication with the larger community is a priority.
- Relationships with community leaders are identified and nurtured.
- Information about family and community concerns, expectations, and needs is used regularly.
- There is outreach to different business, religious, political, and service agencies and organizations.

continues

ISLLC Standards continued

- Credence is given to individuals and groups whose values and opinions may conflict.
- The school and community serve one another as resources.
- Available community resources are secured to help the school solve problems and achieve goals.
- Partnerships are established with area businesses, institutions of higher education, and community groups to strengthen programs and support school goals.
- Community youth family services are integrated with school programs.
- Community stakeholders are treated equitably.
- Diversity is recognized and valued.
- Effective media relations are developed and maintained.
- A comprehensive program of community relations is established.
- Public resources and funds are used appropriately and wisely.
- Community collaboration is modeled for staff.
- Opportunities for staff to develop collaborative skills are provided.

STANDARD 5

A school administrator is an educational leader who promotes the success of all students by acting with integrity, fairness, and in an ethical manner.

Knowledge

The administrator has knowledge and understanding of the following:

- the purpose of education and the role of leadership in modern society
- various ethical frameworks and perspectives on ethics
- the values of the diverse school community
- professional codes of ethics
- the philosophy and history of education

Dispositions

The administrator believes in, values, and is committed to the following:

- the ideal of the common good
- the principles in the Bill of Rights
- the right of every student to a free, quality education
- bringing ethical principles to the decision-making process
- subordinating one's own interest to the good of the school community
- accepting the consequences for upholding one's principles and actions
- using the influence of one's office constructively and productively in the service of all students and their families
- development of a caring school community

Performances

The administrator does the following:

- examines personal and professional values
- demonstrates a personal and professional code of ethics
- demonstrates values, beliefs, and attitudes that inspire others to higher levels of performance
- serves as a role model
- accepts responsibility for school operations
- considers the impact of one's administrative practices on others
- uses the influence of the office to enhance the educational program rather than for personal gain
- treats people fairly, equitably, and with dignity and respect
- protects the rights and confidentiality of students and staff
- demonstrates appreciation for and sensitivity to the diversity in the school community
- recognizes and respects the legitimate authority of others
- examines and considers the prevailing values of the diverse school community
- expects that others in the school community will demonstrate integrity and exercise ethical behavior
- opens the school to public scrutiny
- fulfills legal and contractual obligations
- applies laws and procedures fairly, wisely, and considerately

continues

ISLLC Standards continued

STANDARD 6

A school administrator is an educational leader who promotes the success of all students by understanding, responding to, and influencing the larger political, social, economic, legal, and cultural context.

Knowledge

The administrator has knowledge and understanding of the following:

- principles of representative governance that undergird the system of American schools
- the role of public education in developing and renewing a democratic society and an economically productive nation
- the law as related to education and schooling
- the political, social, cultural and economic systems and processes that impact schools
- models and strategies of change and conflict resolution as applied to the larger political, social, cultural, and economic contexts of schooling
- global issues and forces affecting teaching and learning
- the dynamics of policy development and advocacy under our democratic political system
- the importance of diversity and equity in a democratic society

Dispositions

The administrator believes in, values, and is committed to the following:

- education as a key to opportunity and social mobility
- recognizing a variety of ideas, values, and cultures
- importance of a continuing dialogue with other decision makers affecting education
- actively participating in the political and policy-making context in the service of education
- using legal systems to protect student rights and improve student opportunities

Performances

The administrator facilitates processes and engages in activities that ensure the following:

- Environment in which schools operate is influenced on behalf of students and their families.
- Communication occurs among the school community concerning trends, issues, and potential changes in the environment in which schools operate.
- There is ongoing dialogue with representatives of diverse community groups.
- The school community works within the framework of policies, laws, and regulations enacted by local, state, and federal authorities,
- Public policy is shaped to provide quality education for students.
- Lines of communication are developed with decision makers outside the school community.

Source: *Interstate School Leaders Licensure Consortium: Standards for School Leaders,* Counsel of Chief State School Officers, Washington, D.C., © 1996.

PRINCIPAL'S PERFORMANCE EVALUATION CRITERIA

ADMINISTRATIVE CRITERION I: INSTRUCTIONAL LEADERSHIP

Focus	Exceeds (Has Fulfilled the "Meets" Category)	Meets	Does Not Meet
Development, implementation, and monitoring of an instructional program that supports all curriculum content areas	Technology is integrated into the school curriculum. Evidence exists of a collaborative approach to curriculum development and implementation. When resources exist, supplemental programs (before/after school, Saturday, summer school) support the curriculum.	The instructional program meets state and CPS standards in reading, math, science, social studies and other mandated curricular areas. School activities support the curriculum.	Instructional program is not fully developed and does not include co-curricular activities, i.e., assemblies, special programs, multicultural events.
Evaluation of teacher performance	In collaboration with staff, schoolwide expectations of teacher performance are regularly reviewed and revised. Teachers regularly communicate and meet with parents about classroom expectations/activities, student progress, and suggestions for improvement.	Lesson plans are regularly collected and monitored, with appropriate feedback given to improve instruction. The pre-conference, visitation, and post-conference process is used to identify strengths and weaknesses. Assessment data are shared with staff. Teachers communicate with parents regarding the progress of individual students during report card pick-up. Performance expectations in all areas of responsibility are clearly articulated.	Fails to articulate that teaching performance is directly related to student achievement. Evaluations of teachers do not reflect performance in instructional competency. Fails to evaluate teacher performance as required.
Elementary student assessment (reading) ITBS	50% of students at or above national norms and no more than 3 percentage points below previous year's percentage	Growth of 3 percentage points over previous year's percentage of students at or above national norms and greater than above 15% of students at or above national norms	Less than 15% of students at or above national norms. Less than 3 percentage points growth over previous percentage of students at or above national norms

continues

Principal's Performance Evaluation Criteria continued

Focus	Exceeds (Has Fulfilled the "Meets" Category)	Meets	Does Not Meet
Elementary students assessment (math) ITBS	50% of students at or above national norms and no more than 3 percentage points below previous year's percentage	Growth of 3 percentage points over previous year's percentage of students at or above national norms and greater than 15% of students at or above national norms	Less than 15% of students at or above national norms. Less than 3 percentage points growth over previous percentage of students at or above national norms
High school student assessment (reading) TAP	50% of students at or above national norms and no more than 3 percentage points below previous year's percentage	Growth of 3 percentage points over previous year's percentage of students at or above national norms and greater than 15% of students at or above national norms	Less than 15% of students at or above national norms. Less than 3 percentage points growth over previous percentage of students at or above national norms
High school assessment (math) TAP	50% of students at or above national norms and no more than 3 percentage points below previous year's percentage	Growth of 3 percentage points over previous year's percentage of students at or above national norms and greater than 15% of students at or above national norms	Less than 15% of students at or above national norms. Less than 3 percentage points growth over previous percentage of students at or above national norms
IGAP	Composite score exceeds 50% of students meeting or exceeding state standards.	Percentage of students who meet or exceed increased by 3 percentage points over previous year's percentage of students meeting or exceeding state standards.	Fails to attain any of the criteria for Meets.

ADMINISTRATIVE CRITERION II: SCHOOL CLIMATE INDICATORS

Focus	Exceeds (Has Fulfilled the "Meets" Category)	Meets	Does Not Meet
Drop rate (high school)	The dropout rate has decreased by 5 percentage points or higher as compared to the previous year's percentage.	The dropout rate has decreased by 4 percentage points as compared to the previous year's percentage.	The dropout rate did not decrease by 4 percentage points as compared to the previous year's percentage.

continues

Principal's Performance Evaluation Criteria continued

Focus	Exceeds (Has Fulfilled the "Meets" Category)	Meets	Does Not Meet
Student attendance	Growth of 2 percentage points over previous year's rate (90%–95%) for elementary schools; growth of .5 percentage points over previous year's rate (over 95%); high schools with 82% or better.	The student attendance rates are 90% (elementary) and 80% (high school).	The student attendance rate is less than 90% at elementary school and less than 80% at high school.
Graduation rate (high schools)	The graduation rate increased by 6 percentage points as compared to the previous year's rate.	The graduation rate increased by 5 percentage points as compared to the previous year's percentage rate.	The graduation rate increased less than 5 percentage points as compared to the previous year's percentage.
Retention rate (all grades)	The retention rate is 5 percentage points less than the citywide average.	The retention rate is 2 percentage points less than the citywide average.	The retention rate is greater than the citywide average.
Physical plant	N/A	The majority of the areas within the authority of the principal, including the classrooms, washrooms, offices, lunchroom, and the common areas, are clean and meet the needs of the educational program.	The majority of the areas within the authority of the principal, including the classrooms, washrooms, offices, lunchroom, and other common areas, are not clean, show general neglect, and do not meet program needs.
Safety and security	N/A	Safety and security plan is on file. Uniform Discipline Code is enforced.	No safety and security plan is on file. Uniform Discipline Code is not enforced.

continues

Principal's Performance Evaluation Criteria continued

ADMINISTRATIVE CRITERION III: PROFESSIONAL GROWTH AND DEVELOPMENT

Focus	Exceeds (Has Fulfilled the "Meets" Category)	Meets	Does Not Meet
Professional growth and development of staff	Engages in an ongoing collaborative assessment of staff development needs. Staff plan and attend conferences, seminars, and workshop activities. Participants share knowledge, which contributes to their professional growth and development. Evidence exists of the implementation of staff development programs.	Allocates time and resources for staff development and innovative programs on an ongoing basis. Professional development activities are designed to promote student-centered learning.	Fails to assess staff development needs. Staff development activities are not encouraged. Staff development support is not provided for personnel who demonstrate a need.
Professional growth and development of administrators	Attends more than the minimum state-required in-service sessions. Belongs to more than one professional organization. Takes advantage of optional in-service opportunities. Serves as mentor to other principals through formal and informal processes.	Attends state-mandated in-service sessions (Administrators' Academy). Attends most CPS scheduled in-service sessions and region monthly meetings scheduled during regular working day. Belongs to at least one professional organization, i.e., C.P.A.A. Reads the professional literature provided to the principals by CPS.	Fails to attend state-mandated in-service sessions (Administrators' Academy). Fails to attend most CPS scheduled in-service sessions and region monthly meetings scheduled during the regular working day.

continues

Principal's Performance Evaluation Criteria continued

ADMINISTRATIVE CRITERION IV: SCHOOL LEADERSHIP (MANAGEMENT)

Focus	Exceeds (Has Fulfilled the "Meets" Category)	Meets	Does Not Meet
Maintenance of a professional environment	N/A	Provides a staff handbook. Initiates and administers disciplinary action against employees who violate the provisions of the Employee Disciplinary Code or other Board rules, policies, and procedures.	Fails to initiate or administer disciplinary action when necessary. Authority to discipline is abused.
Compliance with board rules, policies and procedures, existing laws and labor agreements (i.e., staffing, special education guidelines, bilingual education guidelines, staff evaluations, school safety plan, etc.)	N/A	Develops school policies and procedures that comply with Board rules, policies and procedures, and labor agreements. Consistently prepares and files reports according to instructions, guidelines, and timelines.	Fails to comply with Board rules, policies and procedures, and labor agreements. Fails to prepare and file reports according to instructions, guidelines, and timelines.
Implementation of the School Improvement Plan for Advancing Academic Achievement (SIPAA)	N/A	The principal implements and monitors the SIPAA.	The principal fails to implement and monitor the SIPAA.
Management of school financial plan	N/A	Resources are fully allocated to support academic achievement. Management of fiscal resources and budgetary allocations includes ongoing monitoring of funds to support and advance achievement.	Budget allocations do not support fiscal management and academic achievements.
School Internal Accounts	N/A	Maintains school internal accounts and complies with the provisions of the School Internal Accounts Manual.	Fails to maintain school internal accounts according to the provisions of the School Internal Accounts Manual.

continues

Principal's Performance Evaluation Criteria continued

ADMINISTRATIVE CRITERION V: TEACHER, PARENT, AND COMMUNITY INVOLVEMENT

Focus	Exceeds (Has Fulfilled the "Meets" Category)	Meets	Does Not Meet
Development of the School Improvement Plan for Advancing Academic Achievement (SIPAA)	N/A	Participation by the LSC, staff, and community in the development of the SIPAA. The SIPAA reflects all allocated budget categories and expenditures.	Fails to collaborate with LSC, staff, and community in the development of the SIPAA. The SIPAA does not reflect all allocated budget categories and expenditures.
Development of school budget	N/A	Collaboration exists among the LSC, PPAC, and all categories of staff in the development of the school budget.	Fails to collaborate with the LSC, PPAC, and all categories of staff in the development of the school budget.
Communication of the school curriculum and student achievement	Provides ongoing communication (multi-lingual as needed) with teachers, parents, community, and students regarding learning outcomes and student achievement and promotes active consultation among teachers, parents, and students.	Provides information to teachers, community, and students regarding learning goals, objectives, and student progress. Provides teachers, parents, and students with information about school activities. Holds required school forums for SIPAA and budget.	Fails to provide information to teachers, parents, community, and students regarding goals and student achievement. Fails to inform parents and community about school activities.
Interpersonal relations with parents and community	Encourages and welcomes parents and community participation. Effectively utilizes communication and resources within the community.	Develops procedures for parent-community involvement in school activities. Provides two Open Forum meetings to inform parents of SIPAA/budget and school progress. Assists in developing agenda, posting meetings, and attends LSC monthly meetings.	Fails to involve parents and community in school activities. Fails to encourage parent and community participation. Fails to utilize available community resources. Does not meet with parents.

Courtesy of Chicago Public Schools, Chicago, Illinois.

ADMINISTRATOR'S CODE OF ETHICS POLICY

DEFINITIONS

- *Administrator* means any employee of this school district who holds a position that
  - –requires certification with the endorsement of school administrator, principal, or school business administrator
  - –does not require certification but is responsible for making recommendations regarding hiring or the purchase or acquisition of any property or services by the local school district
  - –requires certification with the endorsement of supervisor and is responsible for making recommendations regarding hiring or the purchase or acquisition of any property or services by the local school district
- *Business* means any corporation, partnership, firm, enterprise, franchise, association, trust, sole proprietorship, union, political organization, or other legal entity, but does not include a school district or other public entity.
- *Interest* means the ownership of or control of more than ten percent of the profits, assets, or stock of a business but does not include the control of assets in a labor union.
- *Immediate family* means the person to whom the administrator is legally married and any dependent child of the administrator residing in the same household.

CODE OF ETHICS

No administrator or member of his or her immediate family shall have an interest in a business organization or engage in any business, transaction, or professional activity that is in substantial conflict with the proper discharge of their duties in the public interest.

No administrator shall use or attempt to use his or her official position to secure unwarranted privileges, advantages, or employment for themselves, a member of their immediate family, or any other person.

No administrator shall act in an official capacity in any matter where he or she, a member of his or her immediate family, or a business organization in which he or she has an interest, has a direct or indirect financial or personal involvement that might reasonably be expected to impair their independence of judgment in the exercise of official duties.

No administrator shall undertake any employment or service, whether compensated or not, which might reasonably be expected to prejudice his or her independence of judgment in the exercise of official duties.

No administrator or member of his or her immediate family or business organization in which he or she has an interest shall solicit or accept any gift, favor, loan, political contribution, service, promise of future employment, or other thing of value based upon an understanding that the gift, favor, loan, contribution, service, promise, or other thing of value was given or offered for the purpose of influencing him or her, directly or indirectly, in the discharge of his or her official duties.

No administrator shall accept offers of meals, entertainment, or hospitality which are limited to the clients/customers of the individual providing such hospitality. Administrators may attend hospitality suites or receptions at conferences only when they are open to all attending the conference.

No administrator shall use, or allow to be used, his or her public office or any information not generally available to the members of the public that he or she receives or acquires in the course of and by reason of his or her office, for the purpose of securing financial gain for any member of his or her immediate family, or any business organization with which he or she is associated.

No administrator or business organization in which he or she has an interest shall represent any person or party other than the Board of Education or this school district in connection with any cause, proceeding, application, or other matter pending before this school district or in any proceeding; involving this school district, except that this provision shall not be deemed to prohibit representation within the context of official labor union or similar representational responsibilities.

Nothing shall prohibit an administrator or members of his or her family from representing themselves in negotiations or proceedings concerning their own interests.

Each administrator shall annually, in accordance with law, file with the Commissioner a report regarding potential conflicts of interest and with the School Ethics Commission a financial disclosure statement.

Courtesy of Board of Education, Dunellen, New Jersey.

EVALUATION OF PRINCIPALS/BUILDING ADMINISTRATORS: SUMMARY OF STEPS

1. Evaluation orientation and training

All personnel will be informed of the evaluation system and the procedures involved including the use of the listed performance criteria. The administrator assigned to evaluate the specific job category or whoever is responsible for the operating unit in the district will provide the orientation and training regarding the evaluation system. The district will train the administrators for understanding and implementing the evaluation system. Evaluation is a process in which the evaluatee and the evaluator both have responsibilities.

2. Data collection

The evaluator is responsible for collecting data regarding the evaluatee's performance. As outlined below, the evaluator collects data through review of documentation, observation of the evaluatee, and conferencing with the evaluatee. The evaluatee is prepared to discuss examples of performance that apply to the stated criteria.

3. Full- and part-time personnel evaluation

Every third year, personnel as listed on the evaluation cycle will be formally evaluated. This formal evaluation will include at least one observation, one conference, and the observation/conference evaluation report. A summative evaluation report will be written by the evaluator and reviewed with the evaluatee. The evaluatee will prepare for the conference by collecting documentation of performance criteria.

An evaluatee on formal evaluation who has requested retirement upon completion of the year may be changed to a review conference if agreed upon by both evaluatee and evaluator.

An employee may be placed on formal evaluation outside of the cycle. The employee will be notified in writing with the reasons provided. The "Notice of Evaluation Cycle Assignment" form will be used.

Personnel in the job categories being evaluated each year as listed on the evaluation cycle will have at least one observation and conference with a written report. A "Summative Evaluation Report" will be written and reviewed with the evaluatee.

4. Review conferences

Personnel being formally evaluated every three years will have a review conference with the assigned evaluator during each of the two years between formal evaluations. The performance criteria that are selected by the evaluatee and those criteria selected by the evaluator will be discussed. The objectives written by the evaluatee will be reviewed at the conference. The review conference form provides for documentation of the conference.

5. Performance Criteria Worksheet

The Performance Criteria Worksheet will be used by both evaluatee and evaluator as a place to maintain collected data related to the performance categories listed.

6. Observation

Observation of the employee may be unannounced or prearranged. One observation will be prearranged if requested by the evaluatee. The pre-observation form is recommended when the observation is prearranged.

7. Conference

At the conference following the observation, the evaluator and the evaluatee will discuss the observed activity, the performance criteria, and any other related information. The observation/conference evaluation report will be prepared by the evaluator and given to the evaluatee for signature within 10 days after the observation.

At the completion of one observation, one conference, and the observation/conference evaluation report, the decision will be made by the evaluator as to whether to do additional observations with conference or to proceed to the "Summative Evaluation Report" without further formal observations.

8. Notice of deficiency

If an evaluatee demonstrates job performance deficiencies as identified during the evaluation process, a notice of deficiencies will be given.

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Evaluation of Principals/Building Administrators: Summary of Steps continued

9. Remediation plan

A remediation plan to correct the identified deficiencies will be developed by the evaluator and the evaluatee. The evaluatee will be provided a reasonable period of time for remediation of the deficiencies. Resources and assistance will be stated on the remediation plan. Progress will be monitored, and additional observations and conferences will occur.

The evaluatee whose performance evaluation process includes a remediation plan will be given an opportunity to improve the performance through implementation of the remediation plan. If the next performance evaluation indicates the evaluatee's performance is satisfactory, no further action will be taken regarding the earlier evaluation. If the evaluatee is not performing satisfactorily, the evaluator will make additional recommendations for improvement or recommend dismissal on the summative evaluation report.

10. Summative evaluation report

The summative evaluation report will be prepared by the evaluator and reviewed with the evaluatee. It will focus on the overall performance of the evaluatee. Comments indicating the evaluatee's performance in each of the performance criteria categories will be written. Data sources may include formal and informal observations, conferences with the evaluatee, and other sources such as student work, records and other related material.

11. Satisfactory and unsatisfactory performance

The evaluator will indicate whether the evaluatee's performance is satisfactory or unsatisfactory. Satisfactory performance is defined as successful performance in all performance criteria categories. Unsatisfactory performance is defined as performance that does not meet the performance criteria after opportunities for improvement have been provided.

The summative evaluation report will be signed by the evaluatee and the evaluator. The signature of the evaluatee indicates that the report contents were reviewed with the evaluatee; it does not necessarily indicate agreement with the report. The evaluatee may write a response to the evaluation on the report or attach it to the report.

The evaluatee is expected to sign and return the report within seven working days. A copy will be kept by the evaluatee and by the evaluator.

A copy of the report will be sent to the evaluator's immediate supervisor by the last working day of April. The evaluator's immediate supervisor will review the summative evaluation report and sign the report. The immediate supervisor's signature will verify that the report was reviewed and that the proper process and procedures appear to have been followed. This copy will be forwarded to the office of human resources where it will be kept in the evaluatee's file.

12. Dismissal

If dismissal is recommended, the procedures for dismissal and review will be followed as outlined in state law.

13. Evaluatee request for hearing

The evaluatee has the right of review regarding the application of evaluation procedures. The evaluatee may request a review hearing of the application of procedures with the office of human resources.

Courtesy of Colorado Springs School District #11, Colorado Springs, Colorado.

SAMPLE PRINCIPAL AND ASSISTANT PRINCIPAL EVALUATION PROCESS

STEP ONE

At the beginning of an evaluation cycle, the principal or assistant principal does a self-assessment to highlight, for him- or herself, those domains and functions that appear to be most successful, and to ascertain those domains and functions that lend themselves to further work and/or refinement.

The purpose of this initiating step is to give the principal or assistant principal the opportunity to shape the largest portion of his/her performance evaluation. If the principal or assistant principal is to have primary responsibility for his or her professional growth, then having this level of control is critical.

Note to supervisor: At no time is the self-assessment designed to be used as a checklist in disguise. The entire purpose for its formulation is to assist the person being evaluated to reflect on his or her performance in order to set some priorities for future growth and performance.

STEP TWO

After the principal or assistant principal has completed the self-assessment, he or she should then schedule the goal-setting conference with the supervisor. The purpose of this conference is to review those areas the principal or assistant principal has selected to work on for the coming evaluation cycle. These goals become a part of a Performance Growth Plan for the upcoming evaluation cycle. At least two, but no more than six, goals are to be established.

The supervisor should come into this conference with some ideas for improvement as well. These ideas might be the consequence of the previous evaluation process or they might come from a different set of priorities established by (or anticipated to be established by) the state board of education or the local board. The school's accountability results, school improvement plan, school safety plan, school technology plan, or strategic plan are also sources of ideas for a Performance Growth Plan. There may even be cases where there is a design for using the principal's or assistant principal's talents, and the Performance Growth Plan can be used to help prepare him or her for the future.

Of course, the Performance Growth Plan can also be used to help principals or assistant principals who are struggling with their jobs. He or she might be in a new assignment well out of his or her comfort zone. The administrator might be relatively new to administration. The principal or assistant principal might have encountered sudden shifts in student demographics for which the school and district are underprepared. On the other hand, the principal or assistant principal might actually be struggling to keep the school together on an upward path of continuous improvement. Whatever the reason, this planning conference is intended to set a course of direction aimed at helping improve his or her job performance in some critical areas.

At the conclusion of this conference, the principal or assistant principal and supervisor should have agreed on the Performance Improvement Goals, some strategies for implementation, and timelines to check on progress. The supervisor must be prepared to offer technical, logistic, and/or financial support to help the principal/assistant principal be successful in meeting these goals. Finally, both principal/assistant principal and supervisor should agree to the length of the evaluation cycle (six months minimum to 3 years maximum). The length of the cycle can vary due to such factors as:

- the desire to give feedback to a new principal/assistant principal
- the need to give feedback to an inadequately performing principal/assistant principal
- the need to consider the principal/assistant principal for promotion
- the recognition of continued exemplary performance from years past

STEP THREE

After the goals have been mutually agreed on, the next logical step is to implement the strategies that will lead to accomplishing the goals. The responsibility for creating the actual action plans rests with the principal or assistant principal. He or she knows best how to schedule and pace doing the activities related to goal attainment. It is also each person's responsibility to document his or her own growth. In most cases, this documentation can be verified by the ordinary (and often extraordinary) work the principal or assistant principal does.

continues

Sample Evaluation Process continued

It should be common practice that the principal and/or assistant principal keep the artifacts of his or her work on file in the main office (e.g., parent newsletters, faculty meeting agendas, school-based handbooks, letters and memoranda, etc.). Those documents are more than sufficient to provide any verification that might be called for. In some cases, the work specifically related to a Performance Goal might not manifest itself in the routines of school administration. In those rare instances, and where appropriate, the principal/assistant principal should have a file of those artifacts as well.

The supervisor's role, like any supervisory role of adult professionals, is to support the growth efforts. That may involve holding periodic progress meetings. It is important that these meetings not be trivialized by making them a place primarily for banter and superficial conversations (e.g., "How's it going?"). Rather, everyone should expect that these meetings are serious efforts to monitor progress, identify impediments to progress, make mid-cycle corrections (if necessary and appropriate), and to further establish the importance of performance growth as a job expectation.

In evaluation processes, one standard of best practice is that the evaluator sees the principal or assistant principal perform in his or her work setting. The supervisor should make at least one (more preferably) site visit where the conditions of the setting can be seen alongside the administrator's performance. Each site visit should carry with it some opportunity for the supervisor to give and for the principal/assistant principal to receive high quality feedback on the visit itself.

STEP FOUR

Sometime in midyear (not midcycle, necessarily), both the principal or assistant principal and his or her supervisor should have a significant conference to examine meeting implementation targets, to determine the pace of progress, and to provide the supervisor with information that might relate to districtwide goals and priorities. The district has reporting responsibilities as well, and school-based administrators are a primary source of data.

This conference also maintains a clear message to the principal and assistant principal that Performance Growth is not an option, but an expectation. In this conference, it should be the norm that the administrator come prepared for a serious conversation, complete with data and documents to help underscore the importance of this process.

The supervisor should be prepared to ask cogent questions about information of mutual importance to the school and the district. The Performance Growth Plan documents should be used to trace and document progress. The supervisor should also be prepared to give high quality verbal feedback to the principal on his or her progress, his or her performance, and/or prospects. Any concerns that are raised should be dealt with here.

It is not necessary that the principal or assistant principal receive written feedback from this conference unless the concerns are such to warrant it. Written feedback might be necessary for those whose performance is under scrutiny. The decision for written feedback otherwise is primarily the supervisor's judgment.

STEP FIVE

Toward the end of the evaluation cycle, the principal or assistant principal should set up the summative evaluation conference with his or her supervisor. This conference is to report on the accomplishment of the Performance Growth Goals established at the beginning of the cycle. It is a summative conference in that all elements of the evaluation process are finalized.

In preparation for this conference, the principal or assistant principal should prepare a 2–5 page executive summary of the accomplishments and shortcomings (if any) in doing the Performance Growth Plan. This executive summary provides the supervisor with a brief overview of the Performance Growth Goals, and what actually transpired from the process, including:

- areas of growth and accomplishment where the principal or assistant principal actually attained the goals set forth in the Performance Growth Plan
- areas of concern derived from the self-assessment, midyear conferences with the supervisor (later included in the Performance Growth Plan), and the plan of work for the review cycle
- a description of the available documentation that supports the principal's or assistant principal's accomplishments and how the documentation might be used to validate the accomplishments

continues

Sample Evaluation Process continued

- Any other relevant information that supports the accomplishment of goals and other accomplishments achieved along the way

It is the principal/assistant principal's responsibility to respond to his or her plan and to be prepared to provide evidence (through artifacts and other similar documents) that the executive summary is accurate and as complete as possible. The summary should be in the supervisor's hands at least a week in advance of the actual conference.

The supervisor should hold the summative conference in the principal's school. In the case of an assistant principal, the principal should hold the conference in the assistant principal's workspace. The logistics of the documentation's location gravitate toward this recommendation. Rather than having the administrator carry boxes of materials to this conference, it would simply be more reasonable that the supervisor come to the place where, if a particular piece of documentation is needed or requested, it should be found and retrieved easily. The conference is about *growth*, not the quality of documentation.

At the conclusion, the supervisor should give the principal or assistant principal some verbal feedback and some indications of his or her overall judgment of performance. Any significant shortcomings, weaknesses, or concerns should be presented at that time as well.

Note to supervisors: In this conference, there should be no surprises. The principal or assistant principal should not be hearing a concern about his or her past performance for the first time at this summative conference. Surprise is probably the least desired element in any effective evaluation process.

STEP SIX

To conclude the cycle, the supervisor is to write a 1–2 page summary of the principal/assistant principal's overall performance, using the executive summary and the summative conference as primary sources of data. The supervisor should make any formal recommendations in this document. If there is no disagreement, the principal or assistant principal should sign a copy of the supervisor's summary. Both the executive summary and the supervisor's evaluation summary form the evaluation documentation of the administrator's performance.

In cases where there is a continuing disagreement on one or more points of substance, the principal or assistant principal is invited to provide a rebuttal to whatever part of the supervisor's evaluation summary he or she finds troublesome. That rebuttal also becomes a part of the documentation file.

In some cases, some principals or assistant principals will have had their performance scrutinized more carefully than others will, perhaps in shorter evaluation cycles than others do. In those instances, the supervisor should be more specific as to particular concerns and shortcomings, and should be prepared to recommend either remediation activities for the next cycle or to disclose what processes and procedures will come into play should the concerns not be addressed and the shortcomings not rectified. This should be in a formal letter, specifying the kinds and levels of performance expectations that are required for the principal/assistant principal to receive a more favorable evaluation.

The Performance Growth Plan that follows this intense evaluation should be treated more like an Action Plan with specific targets and specified outcomes to be achieved. It is particularly important that the supervisor document the nature and kinds of assistance the principal/assistant principal will receive in order that he or she has the maximum opportunity to be successful.

Note: These evaluation instruments and processes meet standards and criteria established by the State Board of Education and are available to be used to do performance evaluations for assistant principals, principals, and central office administrators.

Source: Principal/Assistant Principal and Central Office Evaluation Process, Principals' Executive Program, Center for School Leadership Development, The University of North Carolina, Chapel Hill, North Carolina, www.ga.unc.edu/pep/resources.

ROLE OF THE EDUCATION DIRECTOR

In the principal performance evaluation process, the Education Director is expected to do the following:

- Be led by the guiding principles of the principal performance evaluation process.
- Be fully familiar with the total instructional program, academic achievement plan, and operational procedures of the school.
- Ensure that decision making relative to the total evaluation process is data-based.
- Ensure clarity about the performance expectations for the principal and school for the school year.
- Adhere to all timelines established in the evaluation process.
- Provide reasonable technical assistance, specific support and/or recommendation to principals when performance issues are identified.
- Provide verbal and written feedback for each "formal" school visit conducted as part of the evaluation process.
- Maintain clear, concise documentation of all significant concerns about performance including action taken by the evaluator to apprise the principal of the concerns and any suggestions for addressing them.
- Provide written commendation for significant school successes: academic and community.
- Utilize observation reports or written status for summarizing feedback and data, where appropriate.
- Develop a performance improvement plan for, and in collaboration with, identified principals when performance issues are identified. The plan will identify specific goals, expectations, timelines, and measure progress and accountability.
- Meet at regular intervals with principals on performance improvement plans and provide formal, written feedback on each principal's performance.
- Maintain a file or portfolio of appropriate documentation and school performance evidence relied upon to evaluate principals on performance improvement plans.
- Apply all aspects of the evaluation process consistently and fairly to all schools and all school principals.

Courtesy of Seattle Public Schools, Seattle, Washington.

DEVELOPING AN EFFECTIVE EVALUATION SYSTEM

CREATING INSTRUMENTS FOR EVALUATION*

Introduction

Admittedly, trying to assess the work of principals is a challenging task. Today's principalship is a complex, demanding, and frequently ambiguous job that doesn't lend itself to precise analysis. Leadership is like love: trying to dissect it is far less satisfying than simply experiencing it.

But a laissez-faire approach to evaluation shortchanges everyone. As key players in the school community, principals deserve accurate, relevant feedback that not only satisfies the demands of accountability but enhances their performance. One way to get that kind of feedback is to use a formal assessment instrument.

An assessment instrument is any systematic means of generating tangible information about leadership qualities. It may be as simple as a 15-minute paper-and-pencil test or as complex as a hands-on simulation that stretches over two days. Although they do not offer a complete solution to the evaluation dilemma, carefully chosen instruments can add depth, breadth, and objectivity to principal evaluation, and can promote the kind of self-reflection that fuels professional growth.

Lending Credibility

Assessment instruments put backbone into the evaluation process by spelling out and systematically measuring the criteria for success. A good instrument draws on research or professional consensus to identify key leadership characteristics and then uses those criteria to generate a profile of a principal's beliefs, skills, and style. For example, assessments may reveal how much importance a principal places on team building; how he or she sets priorities; the degree to which the principal is guided by a clear philosophy and vision; and how effectively he or she communicates with teachers.

Of course, supervisors already may know some of these things, and could discuss them in an informal conversation, but a formal assessment does it systematically and objectively, using a large number of specific indicators to build a comprehensive picture. A good instrument compels both principals and their supervisors to look at the big picture, including things they haven't been aware of (or prefer not to think about).

Formal assessments also bring external credibility to the evaluation process. A principal who is unwilling to confront an issue can rationalize a superintendent's comments as uninformed or biased but can less easily dismiss the results of an objectively scored test that reflects the professional consensus of experts. Conversely, assessments can boost confidence and self-assurance by uncovering latent strengths that have previously gone unrecognized. Even principals who are already aware of their strengths are pleased to have them confirmed by a credible assessment process.

Many assessment instruments further enhance their accuracy by providing feedback from superiors, subordinates and peers. This 360-degree feedback helps create

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*Source: Reprinted with permission from Larry Lashway, "Instruments for Evaluation," *The School Administrator*, American Association of School Administrators, Arlington, Virginia, © October 1998.

a multifaceted portrait by cross-checking the principal's perceptions with those of the people who know him or her best.

Assessment instruments provide concrete data that can be analyzed, pondered, and used as a spark for professional development. Consider a principal who frequently endorses the value of collaboration and teamwork and sees himself as an empowering leader. Yet the assessment instrument shows attitudes that usually are inconsistent with collaboration, and the feedback from teachers reveals that whatever outward signs of teamwork are employed, they don't feel empowered. At the very least, the discrepancy would lead to further questions about how this principal is actually operating. Is his commitment to empowerment simply rhetorical? Does he define empowerment differently than the teachers? Does the school lack the right structures for collaborative leadership? In fact, the biggest value of formal assessments is not the answers they provide, but the questions they generate.

Proper Application

Despite the insights that assessment instruments can provide, they aren't panaceas. They can tell you how principals perceive themselves (or how others perceive them), and they can provide a snapshot of leadership skills. But because they do not measure results—what the principal has achieved in a real-world setting—they are poor tools for accountability, and most test publishers discourage their use for this purpose.

High-stake decisions such as promotion, retention, and compensation require attention to the bottom line. Are students in this school learning? Are discipline problems diminishing? Is faculty morale high?

However, assessment instruments can play a crucial role in the overall evaluation process. The weak link in most performance evaluations is determining cause and effect. Test scores are up? Fine, but is it the result of the principal's actions or just a minor demographic shift? Faculty morale has improved? Excellent, but exactly how has the principal achieved this? Because assessment instruments are based on extensive research or professional consensus on best practices, they can point out which behaviors most likely made the difference. Establishing a link between action and outcome creates the foundation for professional improvement.

Choosing an Instrument

Every assessment instrument offers its own take on leadership. Some are concerned with style, some emphasize skills, and others focus on beliefs. Some lean toward routine management skills, while others highlight vision and inspirational leadership. Some can be quickly administered and self-scored, while others require a day or two off-site. Choosing the right one for your district takes some effort, but is worth the investment.

The following guidelines outline the six essential steps in the process.

1. *Decide what you want to know.* The first step is the hardest: deciding what leadership behaviors, perceptions, and skills are most important for principals in your district. It's an intimidating task, particularly if your district hasn't given much conscious thought to the question.

But it's a critical decision, since effective leadership is often situational. What works in one place may flop in another. Everyone knows principals who failed simply because their style or skills didn't fit the school; often these same individuals are highly effective in their next assignment. Importing a generic assessment won't do justice to your schools, which aren't generic.

Thus, you need to determine what particular leadership qualities are critical for success in your district. A good starting point is to look at the recently developed standards from the Interstate School Leaders Licensure Consortium (ISLLC). An umbrella group with membership from 24 states and professional associations, including AASA, ISLLC has boiled down its definition of leadership into just six standards, ranging from facilitating vision to nurturing school culture.

The standards include specific success indicators. For example, the standard for vision includes indicators such as "the vision is developed with and among stakeholders," "assessment data related to student learning are used to develop the school vision and goals," and "existing resources are used in support of the school vision and goals."

The ISLLC standards provide a good foundation for thinking about assessment, but the list should be refined and adapted to fit the leadership priorities in your district. Principals themselves can tell you a lot about the issues they're currently struggling with and what kind of feedback would be most useful. Other constituencies, such as teachers and parents, also can provide helpful perspectives on assessment needs.

Ideally, this analysis will recognize differences at the school level. A school with a confident veteran staff requires different leadership skills than a demoralized school with high turnover. However it is done, identifying assessment priorities provides the critical foundation for selecting the right instrument.

Testing Relevance

2. *Locate the instruments most appropriate for your purposes.* In reviewing assessments, it's important to remember that no instrument can be all things to all users. Each test takes some stance on leadership that may or may not be a good match for the leadership priorities in your district. If you've identified "building school culture" as a leadership priority in your district, then the test you choose should provide solid feedback on that dimension.
3. *Judge the credibility of the test.* Nothing undermines assessment faster than the perception that the process is inaccurate, irrelevant, or unfair. Solid evidence should demonstrate that the instrument is statistically sound and capable of providing the information desired.

Most test publishers will provide information on reliability and validity, some of which can be difficult for non-statisticians to evaluate, but anyone can ask the following common-sense questions that will get to the heart of things:

- Does the instrument assess the qualities it claims to? Would a reasonable person agree that the items in this assessment reflect the particular dimensions of leadership that we're interested in? If the answer is yes, the assessment will be seen as credible.
- Is there evidence that performance on the assessment correlates to performance on the job? That is, do high scorers perform better on the job than low scorers?

> Not every instrument has been validated in this way, and even when the information is provided it has to be interpreted carefully. (For example, many tests were developed in a corporate environment and the results are not automatically transferable to school settings.) Over time, however, you should be able to determine that a particular instrument is a good predictor of principal success in your district.

Credibility also is improved when the assessment includes multiple perspectives. A growing number of tests provide 360-degree feedback, in which the leader's self-assessment is supplemented by feedback from supervisors, teachers, and peers. Each group sees leadership from its own limited and possibly biased viewpoint, but using all perspectives permits a reasonable triangulation of the leader's actual performance.

Follow-up Assistance

4. *Determine how much support the instrument provides for follow-up and professional development.* Most formal assessments come with post-test activities that help leaders reflect on the results and set goals for continuing development, but they vary in quality. The following are key questions:
   - Are the test results reported in a clear, understandable format?
   - Do the supporting materials provide test-takers with insights into the meaning of their leadership profile?
   - Does the test package help administrators set an agenda for improvement?
5. *Consider the practical issues.* How long does the test take? Can it be scored locally? What's the cost? No instrument will satisfy all your purposes, and the final choice will be the result of numerous trade-offs.
6. *Once the assessment has been administered, provide support for professional development.* The best instrument in the world will do little good if the results are simply recorded and filed. Results should form an agenda for continuing reflection and professional development activities. The district's willingness to provide tangible support for this activity sends a clear message that assessment is a valued process that will be taken seriously.

As much as we might dream of a simple off-the-shelf test that would painlessly solve our evaluation problems, effective assessment requires careful thought and nurturing. But the payoff for that investment can be significant. Research tells us that reflection plays a critical role in education. Principals, like teachers, learn from experience but only if they assess that experience in a thoughtful, reflective manner. The right assessment instrument can provide a powerful tool for that kind of reflection.

OPERATING FRAMEWORK FOR THE PRINCIPAL AND ASSISTANT PRINCIPAL EVALUATION SYSTEM

BASIC FEATURES OF THE EVALUATION SYSTEM

A. The system is aligned to professional standards, state priorities, performance requirements, and local needs.

B. The primary focus of these evaluation systems is to assess performance and promote personal and professional growth.

C. The evaluation systems use artifacts already established by law and/or state policy (e.g., safe schools plan, school improvement plan, individual growth plan, etc.) as a part of the documentation. However, the focus is on what was done with the plans, not the plans themselves.

D. The system can incorporate 360-degree processes, seeking feedback from multiple sources. These data can be used to help the principal or assistant principal tell the story of his or her accomplishments and shortcomings (if any).

E. The system is performance-based, requiring the presentation of evidence of activity and impact. Principals and assistant principals will be asked to present documentation of the effects of their work.

F. The system is cyclical, requiring both formative and summative evaluation processes. The process is intended, in some instances, to take more than one year to accomplish all that is planned.

G. The systems differentiate levels of performance, so that evaluators can distinguish performance needing improvement from adequate performance and from exemplary performance.

H. The systems require that the responsibility for presenting evidence of performance rests with the person being evaluated. The evidence, however, should be consistent with work that the principal or assistant principal is already doing.

I. The systems require that the superintendent (or his or her designee) assume certain responsibilities for making the evaluation process authentic (e.g., holding goal-setting conferences, making periodic site visits, providing helpful and constructive feedback, holding summative conferences, etc.).

J. The systems accommodate an implicit developmental continuum of professional "maturity," ranging from novice principal to expert.

Note: These evaluation instruments and processes meet standards and criteria established by the State Board of Education and are available to be used to do performance evaluations for assistant principals, principals, and central office administrators.

Source: Principal/Assistant Principal and Central Office Evaluation Process, Principal's Executive Program, Center for School Leadership Development, The University of North Carolina, Chapel Hill, North Carolina, www.ga.unc.edu/pep/resources.

ESTABLISHING AND MONITORING GOALS

GOALS HELP PRINCIPALS SUCCEED

Goals are an integral part of the evaluation process. Goals can be used as one of the ways to measure a principal's job performance as well as challenge and motivate principals to improve their performance. Principals usually set goals in the following three areas:

1. **Districtwide Goals**

These goals are determined by the district and provide a common thread for all principals within the district. Although they all will work on these goals, they may apply different strategies to have the greatest impact on their own school's staff and students.

2. **Building Goals**

These goals are determined by individual principals and include improving teacher evaluations, raising test scores, revising the student handbook, or implementing new policies.

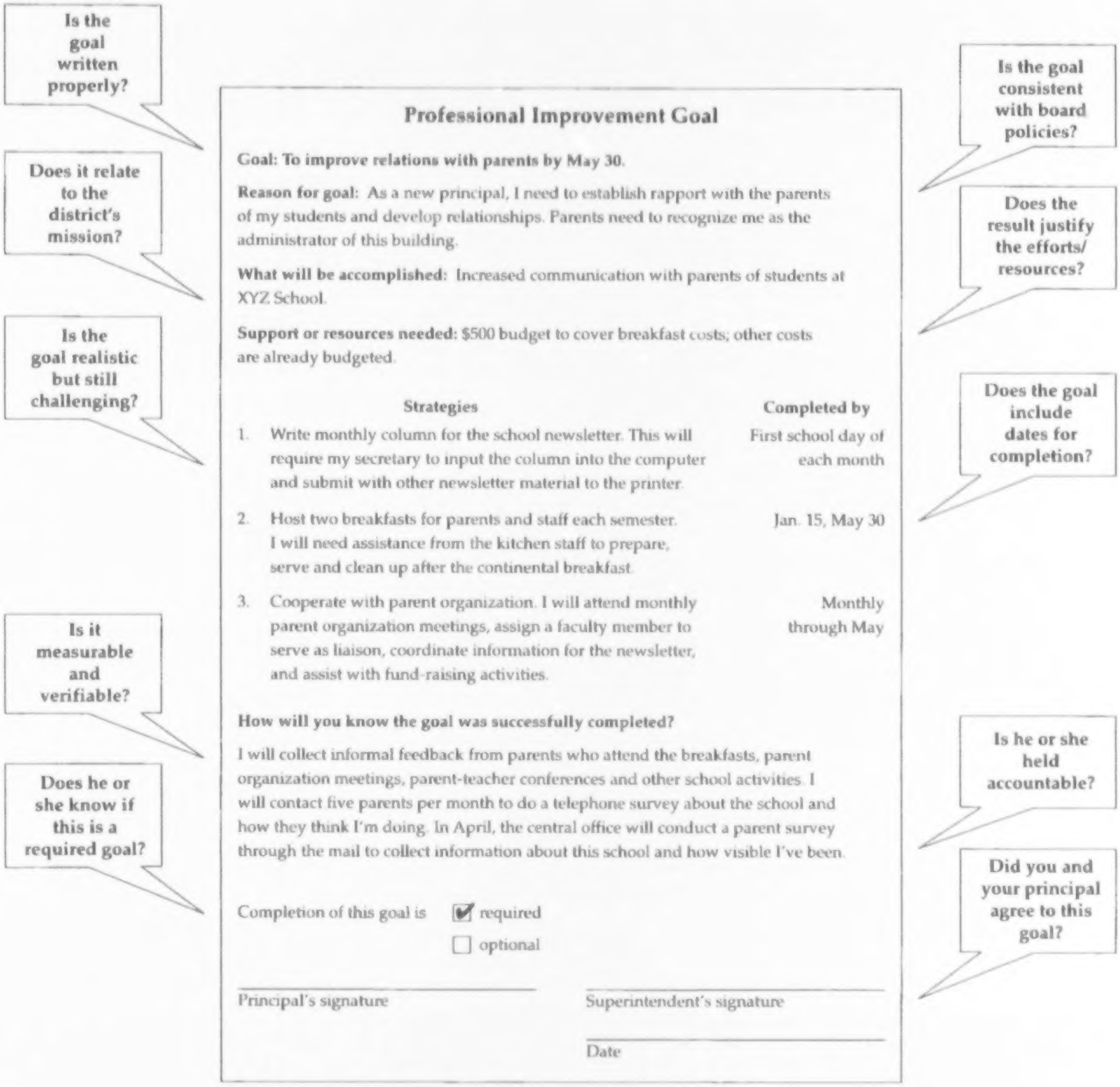
3. **Personal Improvement Goals**

These goals are ones the principals set for themselves that help in their professional growth. These can include attending workshops, taking advanced courses, or networking with other principals.

Source: Copyright © 2002, Aspen Publishers, Inc.

Analysis of a Goal

This form shows a sample professional improvement goal that a principal might have. The pointer boxes highlight the questions you and your principals should ask to determine if a goal is constructed properly.



Professional Improvement Goal

Goal: To improve relations with parents by May 30.

Reason for goal: As a new principal, I need to establish rapport with the parents of my students and develop relationships. Parents need to recognize me as the administrator of this building.

What will be accomplished: Increased communication with parents of students at XYZ School.

Support or resources needed: $500 budget to cover breakfast costs; other costs are already budgeted.

Strategies	Completed by
1. Write monthly column for the school newsletter. This will require my secretary to input the column into the computer and submit with other newsletter material to the printer.	First school day of each month
2. Host two breakfasts for parents and staff each semester. I will need assistance from the kitchen staff to prepare, serve and clean up after the continental breakfast.	Jan. 15, May 30
3. Cooperate with parent organization. I will attend monthly parent organization meetings, assign a faculty member to serve as liaison, coordinate information for the newsletter, and assist with fund-raising activities.	Monthly through May

How will you know the goal was successfully completed?

I will collect informal feedback from parents who attend the breakfasts, parent organization meetings, parent-teacher conferences and other school activities. I will contact five parents per month to do a telephone survey about the school and how they think I'm doing. In April, the central office will conduct a parent survey through the mail to collect information about this school and how visible I've been.

Completion of this goal is ☑ required
☐ optional

Principal's signature

Superintendent's signature

Date

Is the goal written properly?

Does it relate to the district's mission?

Is the goal realistic but still challenging?

Is it measurable and verifiable?

Does he or she know if this is a required goal?

Is the goal consistent with board policies?

Does the result justify the efforts/ resources?

Does the goal include dates for completion?

Is he or she held accountable?

Did you and your principal agree to this goal?

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Principal and Assistant Principal Performance Growth Plan Form

Name: ______________________________ SSN: ________________

School: ____

Growth Plan Cycle: ______________________________ Yrs

Performance Growth Goals: List at least two but no more than six performance goals that address the principal's or assistant principal's growth priorities as determined from the responses to the self-assessment, from the school's performance reports, and/or from district perceptions of performance needs. The goals should be clearly aligned to state, district, and school priorities.

Goal 1: ____

Strategies:	**Target dates:**

Evidences of Completion:

____

____

____

____

Monitoring System:

	Principal's/Assistant Principal's Signature/Date	Supervisor's Signature/Date
First Conference	________________	________________
Second Conference	________________	________________
Additional	________________	________________

Note: These evaluation instruments and processes meet standards and criteria established by the State Board of Education and are available to be used to do performance evaluations for assistant principals, principals, and central office administrators.

Source: Principal/Assistant Principal and Central Office Evaluation Process, Principal's Executive Program Center for School Leadership Development, The University of North Carolina, Chapel Hill, North Carolina, www.ga.unc.edu/pep/resources.

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SAMPLE GOALS: PRINCIPAL (GRADES 7–12)

1. *Improve public relations* through the development of trust and internal public relations work measured by
    - increasing the average building trust score on the staff document to a minimum of 3.0 by April 30, 2001 (Baseline of district total was 2.81076 in Spring of 2000.)
    - increasing the percentage of participants on the staff trust document to a minimum of 75% by April 30, 2001
2. *Improve the staff evaluation process* by meeting the following:
    - By September 20, 2000, inform all staff of the evaluation instrument and schedule all evaluation visits with pre-evaluation meeting date, evaluation meeting date, and post-evaluation follow-up date. For teachers, according to teacher contract requirements, have this document sent to all staff and a copy to the superintendent.
    - Within one week of post-evaluation conference, file their evaluation in the Superintendent's Office.
    - Utilize plans of assistance for staff who need improvements.
3. *Improve the MEAP scores* for the district on 7–12 tests by
    - attaining scores equal to, at least, state average for all MEAP tests or show at least a 10% increase from the last test scores unless they meet this standard and, if met, show a 3% increase
    - attaining scores, at least, in the top half of the St. Joseph Valley League for all MEAP tests or show at least a 10% increase from the last test scores unless they meet this standard and, if met, show a 3% increase
    - addressing MEAP score development on staff evaluations and teacher attainment of curriculum standards and benchmarks
    - following each grading period, assign counseling office to meet with all failures and their teachers to address concerns; requiring counseling logs be maintained on failures

Courtesy of Colon Community Schools, Colon, Michigan.

Goal Self-Evaluation Form

Instructions: Have your principals use this form to evaluate each of their goals, including district, building or personal improvement. Then, review this form with each principal and discuss his or her recommendation.

State the goal being evaluated:

How did you carry out this goal? Briefly describe your strategies and involvement of your superintendent or staff.

Did you accomplish this goal? (If you answered no, explain what prevented you from accomplishing it.)

Could this goal have made a bigger impact on this district, your school, and education? Explain.

Recommendation of principal:

I feel this goal ☐ was successfully accomplished.

☐ can be continued to the next school year.
(complete a new goal form for next year)

☐ was unsuccessful and should be dropped.

Briefly explain your recommendation:

Principal's signature　　Date

Superintendent's signature　　Date

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ASSESSMENT TOOLS

METHODS TO GATHER DATA

OBSERVATION

It's easy to observe some accomplishments—reports and budgets finished on deadline, test score results, graduation rates, or well-maintained buildings and grounds. These are all concrete evidence. However, the toughest part of any evaluation is judging the intangible things such as leadership and communication skills.

Your day-to-day perceptions of a principal's job performance help create the total picture for his or her annual evaluation. If you understand what your principal goes through on the job, you can help him or her to do a better job on an ongoing basis.

Suggested ways to observe principals on the job are as follows.

- Shadow the principal for part of a day.
- Attend a faculty meeting in the principal's building.
- Sit in on a post-observation conference between a principal and a teacher. Make notes on the interaction.
- Attend a parent organization meeting. How do they interact with the principal?
- Attend concerts, plays, and athletic events where the principal is in charge. How does he or she lead, interact with the public?
- Tour the building with the principal. Visit with the custodians, food service workers, and support staff.
- Ask the principal to give an in-service at an administrators' meeting. How does he or she relate to others?
- Drop in on a principal's building during lunch or when students arrive. Watch the interaction between students and principal, between teachers and principal.
- Put the principal in charge of a district committee. Note how he or she works with the community, the board, and you.

Document observations and review them with the principal before including them in the final evaluation.

SURVEY

Information gathered from teachers, parents, and students provides valuable insight to how well principals are performing on the job. Teachers, who are supervised by their principal, have direct knowledge of his or her leadership and management skills. Parents and students interact with the principals and are in a position to know how well they communicate, make decisions, and carry out district policy.

Try the following tips:

- *Choose the right questions.* When developing a survey, tailor the surveys for each group, concentrating on performance areas in which the group could give a valid judgment. For example, parents probably wouldn't know if the principal provides adequate leadership to teachers. Include questions about areas they'd have an opinion on, like school activities or communication with the principal. On the other hand, teachers can comment on the principal's supervisory skills.
- *Test the questions.* Ask five people to take a preliminary survey. After they complete it, ask them if any questions were difficult to understand.
- *Keep it short.* The shorter the questionnaire, the better the response.

Decide with the principal what you expect to learn from the survey. Do you want to know what parents think of the school schedule, programs, or policies? The principal's communication skills? You can increase the survey's value by discussing what you and the principal want to know.

Ask respondents to be fair. People who are either very upset or very happy with your district are most likely to complete the surveys. You may get nonconstructive criticism based on personal grudges. Ask them to focus on the principal's overall performance for the year.

DIRECT FEEDBACK

Direct feedback is another method of soliciting reactions from teachers, parents, and students

continues

Methods To Gather Data continued

about a principal's performance. Suggested ways to collect information are as follows:

- *Be visible in the school.* If staff and faculty are used to seeing you around, they will be more comfortable talking to you about their principal. Talk to students. Their input may be invaluable.
- *Ask faculty or staff to fill out a form.* This is an option if you don't want to survey an entire group, but want to get views from a few individuals. Also, teachers don't have to worry about the principal seeing them.
- *Form a committee to solicit teacher input.* Sometimes teachers and staff will criticize the principal among themselves, but they won't tell you because they don't feel comfortable. Give the committee the type of information you are looking for and ask the committee to report the results.
- *Cultivate good relationships with parents.* Many parents take an active role in monitoring school performance. Talk to parents at school meetings. Document the number and content of the calls you receive from them.

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PRINCIPAL PERFORMANCE AREAS AND DATA SOURCES

Performance Area	Data Relevant to Supervision
Instruction	Test scores, grades, awards, retention rates Parent, student, teacher satisfaction surveys
Organization administration	Documented problems, report promptness, building appearance, evidence of teamwork
Personnel management	Grievance record, staff attendance records, workers compensation claims, complaints
Pupil personnel management	Student activity program, counseling program, special education program, complaints from parents, students, and teachers
Business management	Budget records, assignment of staff, provision and conservation of resources, innovative programs, grant funding
Community public relations	Community programs, newsletters, news releases, record of building use, presence on community boards and committees
Program development	Staff development, orientations, curriculum revision and implementation, evidence of new approaches in any of the other areas

Source: Bernadette Marczely, *Supervision in Education: A Differentiated Approach with Legal Perspectives*, Aspen Publishers, Inc., © 2001.

PRINCIPAL PERSONAL CHARACTERISTICS AND DATA SOURCES

Personal Characteristics	Data Documenting Performance
Intelligence	Problem solving
Leadership	Successful projects
Creativity	New programs, grants, problem solutions
Enthusiasm	Reputation among teachers, students, and public
Honesty	Grievance record, reputation
Poise	Performance in difficult situations
Stability	Reputation, situational response record
Health and stamina	Attendance record
Flexibility	Situational response record
Personal appearance	Anecdotal record

Source: Bernadette Marczely, *Supervision in Education: A Differentiated Approach with Legal Perspectives*, Aspen Publishers, Inc., © 2001.

Principal and Assistant Principal Self-Assessment Form

The administrator should provide a self-rating in each of the areas listed, based on the following performance rubric:

- *Exceeds* expected performance levels; completes responsibilities at high levels of proficiency
- *Meets* expected performance levels; completes most responsibilities at a moderate level of proficiency
- *Does not meet* expected performance levels; often fails to complete responsibilities at expected levels of proficiency

INSTRUCTIONAL LEADERSHIP

An instructional leader demonstrates the ability to influence the instructional program in positive ways.

1. **Visionary leadership**—demonstrates the ability to develop, articulate, and use a vision of excellence; for example:

   A. **Presents evidence that the vision is a shared vision—RATING:______**
   - includes the school community in school improvement efforts
   - uses the vision to shape educational programs, plans, and actions
   - leads in the implementation of a school improvement plan that includes an abstraction created by a team of school representatives that describes a vision of what they would like the school to look like in the next year, three years, and/or five years
   - creates operational plans and procedures to achieve the vision and goals of the school
   - uses stakeholders to help develop the vision of the school
   - ensures that the school management team reflects appropriate stakeholders within the school community
   - ensures that the core beliefs of the school vision are modeled for all stakeholders
   - ensures that the contributions of school community members to the realization of the vision are recognized and celebrated
   - ensures that progress toward the vision and mission is communicated to all stakeholders
   - invites public scrutiny of the school's vision by its stakeholders

   B. **Uses the vision to guide and define decisions—RATING: ______**
   - models the core beliefs of the vision in public
   - leads the development of rules, regulations, and school policies to reflect the vision of the school
   - is successful in developing and achieving annual professional and personal goals
   - demonstrates a high level of personal mastery
   - ensures that an implementation plan is developed in which objectives and strategies to achieve the vision and goals are clearly articulated
   - uses existing resources in support of the school's vision and goals
   - obtains needed resources to support the implementation of the school's mission and goals
   - ensures that the school's improvement plan and the core values of the school and community guide day-to-day decisions involving all aspects of the management of the school

continues

Principal and Assistant Principal Self-Assessment Form continued

- makes provision for professional development, financial management, and technology use and integration into the curricular and administrative management activities consistent with the articulated vision
- uses assessment data related to student learning to monitor the school's goals and vision
- uses relevant demographic data pertaining to students and their families in shaping the school's mission and goals
- regularly monitors, evaluates, and revises the vision, mission, and implementation plans
- uses the vision to garner resources from the community to support the shared vision

C. **Maintains a steady flow of two-way communication to keep the vision alive and important—RATING: ______**

- articulates the vision of the school with student and parent groups, local civic, business leaders, and other appropriate community members, soliciting input and involving them in refining and implementing the vision
- communicates regularly and routinely with members of the school faculty, student and parent groups, local civic and business leaders, and other appropriate community members to solicit input, involve them in refining and implementing the vision
- effectively communicates the vision and mission of the school to staff, parents, students, and community members
- recognizes and celebrates the contributions of school community members to the continuing progress toward the vision

D. **Suggested Artifacts**

- board policy manual
- letters and memoranda
- notes/minutes from school improvement team meetings
- principal's resume
- school improvement plan
- system level strategic plans
- accountability data
- faculty and student handbooks
- faculty meeting agendas
- lesson plan books and notations
- principal's planning book

2. **Curriculum design and development**—demonstrates the ability to ensure that the curriculum of the school is designed to promote high student achievement and sound personal growth; for example:

A. **Leads the faculty and community in a thorough understanding of the relationship between the learning needs of students and the state standard course of study—RATING: ______**

- bases curriculum decisions on research, expertise of teachers, and recommendations of learned societies
- articulates an overview and philosophy of the curricular objectives of the school
- provides relevant professional development to teachers to assure that they possess the knowledge and skills to design and implement effective classroom instruction

continues

Principal and Assistant Principal Self-Assessment Form continued

- engages in regularly scheduled dialog with parents and community members regarding the relationship between the curriculum of the school and the state accountability program
- demonstrates involvement in team planning for the implementation of the curricular objectives of the school
- provides for curriculum guides aligned to the state curriculum and the textbooks for each subject offered in the course catalog to the teacher of the subject

B. **Ensures that there is an appropriate and logical alignment between the curriculum of the school and the state's accountability program—RATING ______**

- observes teachers, teaching materials, strategies, and classroom instruction to assure that teachers teach the curriculum in an effective, professional manner, and align their instruction with state accountability standards
- leads in the creation of instructional management and monitoring tools that describe the effectiveness of the school instructional program in meeting the expectations of the state's accountability program
- ensures that local curriculum guides are aligned to the state's standard course of study and the textbook used in the course
- seeks student and parent feedback on the curriculum of the school
- assigns appropriate non-tested subject's representation in the daily schedule

C. **Ensures that appropriate differentiation in curriculum and instruction is available to those students with exceptional needs—RATING: ______**

- creates a climate of high expectations that all students of the school will master the essential elements of the curriculum of the school
- ensures that multiple and varied opportunities to learn are available to all students
- collects and uses individual teacher effectiveness data to redirect and focus instruction
- collects and assimilates data regarding student performance and uses these data to redirect instruction and instructional priorities
- provides for a comprehensive monitoring system that represents a framework for improving student achievement

D. **Suggested Artifacts**

- curriculum documents
- curriculum pacing guides
- goal summary data (accountability data)
- management/monitoring system reports
- letters and memoranda
- records from parent meetings
- school master schedule
- school level and/or district technology plans
- state accreditation documents
- state curriculum documents
- surveys of students and parents

continues

Principal and Assistant Principal Self-Assessment Form continued

3. **Instruction effectiveness**—demonstrates the ability to facilitate instructional practices that will lead to high student performance and to a safe, orderly, and caring environment; for example:
   A. **Manages time to be an instructional leader as a priority—RATING: ______**
      - monitors and supervises the total instructional program
      - includes sufficient time in the daily schedule for classroom observation and teacher coaching activities
      - includes time on faculty meeting agendas to address specific instructional problems
      - creates time for instructional supervision by coaching teachers to maintain teacher ownership of classroom management responsibilities
      - participates actively in district-level instructional improvement activities
      - is a visible participant in school-level curriculum development and instructional planning meetings
      - is a driving force in providing opportunities for professional development activities for the faculty

   B. **Provides targeted and challenging professional development activities designed to improve teacher's strengths in reaching all students—RATING: ______**
      - uses teacher workdays and other appropriate occasions to create a climate of personal mastery and team learning among the faculty, both individually and collectively, through the professional development activities of the school
      - ensures that professional development activities are selected based on the relationship to school needs as articulated in the school's improvement plan
      - ensures that professional development promotes a focus on student learning with the school's vision and goals as reflected in the improvement plans
      - ensures that professional development provides the opportunity for collaboration, experimentation, and reflection in trying to resolve instructional problems
      - ensures that lifelong learning is encouraged throughout the school

   C. **Arranges for teachers to teach in settings and circumstances that draw on their strengths and highest abilities—RATING: ______**
      - always seeks to hire the most competent staff members possible
      - refrains from assigning teachers to instruct outside their areas of expertise and/or level of competence
      - assigns both subjects and students to teachers' classrooms in a fair and equitable manner
      - provides the opportunities for teachers to develop their expertise outside their classroom activities through involvement in community activities, as experts to adult groups, testimony to the media, or other similar opportunities and circumstances
      - removes barriers to student learning

   D. **Suggested Artifacts**
      - classroom observation data
      - dropout data
      - letters and memoranda
      - principal's calendar
      - professional development calendars
      - school improvement plans
      - school level and/or district technology plans

continues

Principal and Assistant Principal Self-Assessment Form continued

- school safety records
- state compliance documents

4. **Assessment and evaluation**—demonstrates a commitment to using information to promote sound instructional practices; for example:
   A. **Uses data collected from state and local testing and assessment programs to develop formative instructional strategies to improve the effectiveness of daily classroom instruction—RATING: ______**
      - develops procedures to accurately portray the school's performance to the faculty and greater community
      - presents testing data and test management support to teachers in a useable form
      - presents appropriate data in non-tested performance areas to communicate the full range of effects the school has on learning
      - uses student performance data to justify the need for program changes and replacement of ineffective programs
      - uses data to show levels of progress in academic achievement and with certain high-risk populations of students
      - collects student and parent feedback on the school-testing program
      - engages in activities with parents and the community to generate support for all students within the school community

   B. **Monitors student achievement throughout the year, using both classroom and testing data to assess progress—RATING: ______**
      - leads the development of interim assessments that provide feedback for teachers, parents, and students regarding student mastery of the intended curriculum
      - uses demographic data and technological tools to monitor the achievement levels of various groups of students

   C. **Monitors classroom performance on a regular basis, offering pathways to improved student performance through improved teaching—RATING: ______**
      - uses a variety of strategies to provide regular feedback to a teacher regarding his or her teaching performance
      - approaches the classroom observation process positively, believing that each faculty member seeks to be successful with each child
      - refrains from unrealistic appraisals of teacher classroom performance
      - aggressively works with inadequate teachers to help them gain the independence to attain high student achievement standards
      - where appropriate, makes the decision to recommend termination of inadequate teacher performance
      - collects student and parent feedback regarding the effectiveness of the instructional program

   D. **Suggested Artifacts**
      - internal reviews of testing data
      - letters and memoranda
      - PowerPoint presentations
      - school district and school level testing data reports
      - school level and/or district technology plans
      - state reports

continues

Principal and Assistant Principal Self-Assessment Form continued

5. **Results oriented**—Demonstrates the ability to have students achieve at expected levels of performance or beyond; for example:

   A. **Implements a system of performance indicators that guide the school staff in benchmarking performance against similar institutions on a local, state, and national scale—RATINGS: ______**
      - studies and communicates the literature of best practices regularly to the school's professional community
      - uses interactive meeting time with teachers to discuss the school's performance indicators against similar institutions with similar demographics
      - ensures that the School Improvement Plan contains both challenging but reasonable targets for growth

   B. **Produces student achievement results that are commensurate with basic principles of the state's accountability system—RATINGS: ______**
      - uses achievement data to illustrate the need for high achievement expectations
      - recognizes and rewards achievement that reflects exemplary teacher and student performance under unusual circumstances

   C. **Communicates the results of his or her leadership to appropriate audiences and constituencies**
      - uses the influence of the office to enhance the educational program rather than for personal gain
      - defends principle and conviction in the face of pressure and partisan influence
      - communicates his or her personal recognition and satisfaction through the accomplishments of others—teachers, students, parents, etc.
      - seeks state and national awards to promote and celebrate the accomplishments of students and staff
      - communicates school accomplishments through regular newsletters, community presentations, and individual congratulatory notes to school family members
      - uses effective communication skills
      - develops and maintains effective media relations
      - establishes a comprehensive program of community information

   D. **Suggested Artifacts**
      - newsletters
      - award applications
      - samples of correspondence
      - public relations brochures
      - press releases
      - budget documents
      - facility plans
      - enrollment projections
      - school level and/or district technology plans
      - letters and memoranda
      - PowerPoint presentations
      - state and local accountability reports

continues

Principal and Assistant Principal Self-Assessment Form continued

6. **Locally identified instructional leadership standards.**

____

____

____

ORGANIZATIONAL LEADERSHIP

An organizational leader demonstrates the ability to create and sustain an organizational culture that promotes high standards and expectations.

1. **Climate**—communicates a commitment to high expectations for student and teacher performance; for example:
   A. **Provides and promotes a climate for learning that is safe and orderly—RATING:** ______
   - regularly monitors and modifies organizational systems as needed
   - includes a safe school plan that addresses the rules, desired behaviors, teachers' guidelines, and other responsibilities for developing the behavior management program of the school
   - expects teachers to use effective lesson plans and classroom management techniques to minimize classroom disruptions and promote a challenging and motivating learning environment
   - collects data regarding faculty-student interaction and uses the data to diagnose potential areas of concern
   - uses appropriate data in giving evaluative feedback to faculty
   - conducts a regular school safety audit
   - ensures the implementation and use of a comprehensive school-counseling program
   - provides access to employee assistance counseling when appropriate and possible

   B. **Creates an organizational climate that provides rewards and incentives for accomplishment—RATING:** ______
   - acknowledges both individual and collective acts of achievement to parents and students
   - provides opportunities and encourages participation by each faculty member and student to gain individual and/or group recognition through their participation in curricular, co-curricular, and extra-curricular activities
   - celebrates accomplishments through recognition banquets and school assemblies, appropriately placing primary emphasis on strengthening the instructional program of the school

   C. **Monitors student performance on a continuous basis—RATING:** ______
   - establishes partnerships with area businesses, institutions of higher education, and community groups to strengthen collaborative programs that support school goals
   - organizes and aligns the school for success
   - maintains student and faculty performance records in an electronic form that allows detailed analysis of progress over time
   - leads in establishing detailed classroom goals in relation to projected school growth goals using the state's accountability software

continues

Principal and Assistant Principal Self-Assessment Form continued

- uses these data to set and redirect instructional activities
- ensures that program changes are designed to address the school's need to improve certain aspects of instructional performance

D. **Communicates a commitment to the dignity and a contribution of all cultures—RATING: ______**

- ensures that all groups of students have equal access to all parts of the curricular, co-curricular, and extra-curricular programs of the school
- involves parents and the community in activities that provide the positive aspects of the diverse population groups of the school
- celebrates the school's diversity through recognition programs and school activities that help students and their parents relate to the differing culture within the school family
- involves parents who are traditionally uninvolved in their children's education, especially where the parent is a reluctant participant in school-centered events
- gives respectful credence to individuals and groups whose values and opinions may conflict

E. **Uses professional meeting times in the school to reinforce commitments to high performance standards—RATING: ______**

- sets required time aside at each faculty meeting, PTA meeting, and at other community presentation events to talk about the school's commitment to high student achievement
- engages members of the community in dialog to promote the high achievement of all students within the school family
- provides regular feedback to the faculty and the community on the achievement goals of the school and its success in reaching those goals
- uses professional development opportunities to bridge the differences between cultures

F. **Suggested Artifacts**

- climate studies
- school improvement plan
- professional development plan
- survey documents and reports
- evidence of business relationships
- faculty and PTA agendas and minutes
- school-level achievement reports
- agendas from recognition ceremonies
- board policies
- brochures, letters, and memoranda
- faculty handbook
- letters of commendation to students and faculty
- news articles and press releases

continues

Principal and Assistant Principal Self-Assessment Form continued

2. **Empowerment**—finds pathways and opportunities for teachers and others to make the best contributions they are capable of making for themselves and to the school; for example:
   A. **Involves stakeholders in decisions affecting schools—RATING: ______**
      - requires that each faculty member participate in at least one school level work group that is engaged in setting school goals for high expectations of faculty and students, developing quality solutions to instructional problems, and/or resolving issues related to problems in the school's administrative management activities
      - includes appropriate faculty in the school's recruiting and hiring of new staff members

   B. **Shares responsibility to maximize ownership and accountability—RATING: ______**
      - provides high-level leadership opportunities to any faculty member who desires to participate
      - provides leadership training as a part of the faculty's professional development program

   C. **Suggested Artifacts**
      - climate studies
      - school improvement plan
      - professional development plan and reports
      - survey documents and reports
      - school improvement meetings' minutes
3. **Communications**—ensures commitment through practice the maxim that knowledge is power, to be shared and distributed to others; for example:
   A. **Keeps appropriate audiences and constituencies informed about the school and its functions—RATING: ______**
      - uses in-house newsletters, small and large group meetings, and e-mail to inform faculty of school news and event opportunities
      - uses newsletters, special news articles in local newspapers, e-mail and Web sites, and other media to inform parents of school events and to encourage their participation in school leadership activities
      - is involved in discussions with various groups within the school culture to ensure their involvement and representation in school functions and events
      - establishes informal and formal networks among the faculty to involve students and parents in the planning and leadership of school activities
      - speaks well in front of both large and small groups
      - demonstrates effective use of language in dealing with staff, board of education, and members of the public

   B. **Stays well informed about professional issues and shares this information with appropriate groups—RATING: ______**
      - is conscientious regarding personal professional development and shares the results of training and discussions with faculty and others not privileged to such information
      - maintains professional development by reading, course work, conference attendance, professional committee work, and visiting model educational sites
      - translates the results of personal knowledge of professional issues into school improvements
      - earns respect and standing among colleagues

continues

Principal and Assistant Principal Self-Assessment Form continued

C. **Suggested Artifacts**
- minutes from meetings
- notes from speeches
- personal professional development activities
- PowerPoint presentations
- professional development calendars
- feedback from faculty and the community

4. **Continuous improvement**—creates an environment where students, teachers, and parents understand and accept the "doctrine" of continuous improvement; for example:

A. **Uses TQM/TQE or other similar data-driven theories of management to benchmark the school's performance indicators against exemplary practices outside the school—RATING: ______**
- shares the precepts of the continuous improvement initiative adopted by the school with teachers, parents, and other stakeholders and enlists their assistance to assure that impact of the school's efforts results in higher student achievement
- designs performance indicators to measure the effectiveness of school activities that are not easily benchmarked
- uses data to effect changes in the school programs and the attitudes of the school family about the need for making the changes

B. **Acts in an entrepreneurial manner to support continuous improvement—RATING: ______**

C. **Suggested Artifacts**
- Baldridge Criteria studies
- school public relation's documents and brochures
- parent newsletters
- instructional improvement reports to the public
- parent, faculty, student, and community surveys
- letters and memoranda to staff and public
- awards structure developed by the school

5. **Other locally identified organizational leadership standards**

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continues

Principal and Assistant Principal Self-Assessment Form continued

MORAL/ETHICAL LEADERSHIP

Principals, as well as those they serve, constantly face situations and circumstances that might require them to make a difficult decision. Moral/ethical leadership is about making appropriate choices for the right reasons; for example:

1. **Commitment to others**—ensures that the purposes of schooling and the people in the school are working in harmony; for example:
    A. **Creates and sustains a nurturing and caring environment—RATING:** ____
      - ensures that students and staff feel valued and important
      - ensures that the school faculty and staff have the safety and well-being of students as their primary concern
      - ensures that students are respected as individuals
      - employs teachers who enjoy working with young people and are committed to making each student as successful as possible
      - uses effective group-process and consensus-building skills
      - assesses the school culture and climate on a regular basis

    B. **Maintains a learning environment designed to help others be as successful as they choose to be—RATING:** ______
      - expects teachers and other administrators to "go the extra mile" to ensure that students are successful
      - removes barriers to student learning and faculty performance
      - ensures that teachers and administrators maintain records that provide them with tools to determine what works best with students and continuously use these tools to help students

    C. **Suggested Artifacts**
      - disaggregated reports of student progress
      - faculty meeting agendas
      - instructional improvement reports to the public
      - letters and memoranda to staff and public
      - longitudinal studies of student achievement
      - parent newsletters
      - parent, faculty, student, and community surveys
      - records of parent and community meetings
      - school survey reports
2. **Professional ethics**—models the qualities of fairness, equity, integrity, and honesty in professional dealings with others; for example:
    A. **Demonstrates an adherence to a personal and professional code of ethics—RATING:** ______
      - demonstrates values, beliefs, and attitudes that inspire others to higher levels of performance
      - demonstrates loyalty to the organization and colleagues
      - protects the rights and confidentiality of students and staff
      - serves as a role model for students, faculty, and the community the school serves

continues

Principal and Assistant Principal Self-Assessment Form continued

B. **Accepts responsibility for school outcomes—RATING: ______**
- considers the impact of his or her administrative practices on others
- ensures that those within the school responsible for fiscal and resource management are adequately trained to manage their areas of responsibility
- incorporates ethical behavior throughout the instructional and behavioral management program of the school
- ensures equitable distribution of resources among the various programs throughout the school

C. **Suggested Artifacts**
- board policies
- letters and memoranda
- faculty meeting agenda and minutes
- climate surveys
- annual reports
- relevant external reviews of the school program (curriculum and financial audits)

3. **Respect for diversity**—accepts as value all of the people and cultures represented in the school and by the community at large; for example:

A. **Uses a wide range of opportunities to celebrate the diverse cultures, both those included among the school community and those outside the school—RATING: ______**
- ensures that all students have equal access to all parts of the curricular, co-curricular, and extra-curricular program of the school
- provides orientation programs for new students and faculty members to ensure that their transition into the school program is as comfortable as possible
- facilitates an understanding of the role of diversity and equity in a global, democratic society
- uses professional development opportunities to bridge differences between cultures

B. **Ensures that established policies and procedures are in place and enforced equitably for all participants in the school—RATING: ______**
- ensures that school rules regarding misconduct are consistent with the safe school plan of the school
- keeps detailed records to determine the effectiveness of school rules and the need for changes
- within the bounds of legal appropriateness, ensures that hiring and recruiting processes consider the representative levels of student and faculty diversity of the community the school serves

C. **Suggested Artifacts**
- professional development calendars
- hiring and employment records
- letters and memoranda
- agendas of student and faculty orientation sessions
- press releases
- job descriptions

continues

Principal and Assistant Principal Self-Assessment Form continued

4. **Responsibility**—accepts responsibility for his or her actions and decisions; does not seek to blame others for the consequences of his or her actions; for example:
   A. **Opens the school to public scrutiny—RATING: ______**
      - models strategies of change and conflict resolution in the larger context of schooling and society
      - considers the impact of one's administrative practices on others

   B. **Devotes time and energy to the position—RATING: ______**
      - possesses and maintains the health and energy necessary to meet the responsibilities of the position

   C. **Suggested Artifacts**
      - board policies
      - budget document
      - planning documents
      - climate studies
      - annual reports
      - external review (audits)
      - letters and memoranda
      - personal work attendance records
5. **Other locally identified moral/ethical leadership standards**

   ____

   ____

   ____

MANAGERIAL LEADERSHIP

Effective schools require good management as well as good leadership. Effective management ensures that the operational processes in the school are effective and efficient; for example:

1. **Law and policy**—understands and enforces both law and policy consistently; for example:
   A. **Develops and distributes student and faculty handbooks that are consistent with the school's vision and goals, local school board policy, and state law and policy—RATING: ______**
      - provides regular professional development activities associated with new laws and interpretations of existing laws that affect classroom instruction
      - fulfills legal and contractual obligations

   B. **Applies laws and procedures fairly, wisely, and considerately—RATING: ______**
      - works within the framework of policies, laws, and regulations enacted by local, state, and federal authorities
      - shapes school policy to provide quality education for students
      - develops effective lines of communications with decision makers outside the school community

continues

Principal and Assistant Principal Self-Assessment Form continued

C. **Suggested Artifacts**
   - board policy manual
   - faculty and student handbooks
   - professional development calendar
   - letters and memoranda
   - surveys of teachers, parents, and students
   - compliance documents
   - budget documents
   - external reviews (financial and curriculum audits)

'2. **Resource management**—understands the resources available to the school and uses them wisely; for example:

A. **Uses fiscal resources efficiently and effectively to provide the materials and people needed to help the school be effective—RATING: ______**
   - ensures that public resources and funds are used appropriately and wisely
   - obtains resources to support the implementation of the school's mission and goals
   - uses existing resources in support of the school's vision and goals
   - identifies potential problems and opportunities
   - confronts and resolves resource allocation problems in a timely manner
   - aligns financial, human, and material resources to help achieve the goals of the school
   - establishes partnerships with area businesses, institutions of high education, and community groups to strengthen programs that support achieving school goals
   - ensures that the school and community serve one another as resources
   - uses effective problem framing and problem-solving skills
   - uses effective conflict resolution skills
   - uses effective group-process and consensus-building skills
   - ensures that school priorities are reflected in the budget of the school
   - develops and opens the school budget for public scrutiny

B. **Uses space effectively to support both the instructional program and the ancillary functions of the school—RATING: ______**
   - creates and maintains a safe, clean, and aesthetically pleasing school environment
   - ensures that the school plant, equipment, and support system cooperate safely, efficiently, and effectively
   - ensures that the school plant and facilities are arranged and space is assigned with priority given to supporting the instructional program

C. **Has an effective staffing plan, where people contribute their best efforts to the school's success**
   - uses human resource functions to support the attainment of school goals
   - acknowledges the responsibilities and contributions of each individual
   - recognizes and celebrates student and staff accomplishments
   - makes an effective decision regarding the retention or dismissal of personnel
   - develops and administers an effective system to evaluate classified staff
   - assigns faculty to drive the school's commitment to high student achievement
   - demonstrates care and concern for the well-being of all students, faculty, and staff

continues

Principal and Assistant Principal Self-Assessment Form continued

D. **Provides for effective supervision of school support services and classified staff—RATING: ______**
   - works with all staff to assure maximum opportunities for success
   - ensures that support operations support the instructional program
   - demonstrates skill in hiring new staff members
   - uses the expertise of existing faculty to assist in the selection and evaluation of new support staff members
   - treats all individuals with fairness, dignity, and respect
   - reflects the beliefs and principles found in the vision of the school for high student achievement in the staff selection process

E. **Uses time resources well to facilitate high student and teacher performance—RATING: ______**
   - manages time to maximize attainment of organizational goals
   - minimizes interruptions to instructional time
   - collaboratively develops master schedule and individual class schedule and uses the talents of the school staff effectively
   - ensures that community youth family services are appropriately integrated with school programs
   - effectively manages an efficient office and recordkeeping system
   - takes time to "sharpen the saw"

F. **Suggested Artifacts**
   - financial, management, and curriculum audits
   - grant applications
   - budget documents
   - letters and memoranda
   - school master schedule
   - hiring records
   - school board minutes
   - professional development calendars

3. **Personnel management**—understands how to select, induct, develop, evaluate, and retain personnel who assist the school in accomplishing its purposes and mission; for example:

   A. **Uses sound and effective principles for selecting new staff, both professional and classified—RATING: ______**
      - demonstrates skill in hiring new staff members
      - uses expertise of existing faculty to assist in the selection of new faculty members
      - makes the staff selection processes reflect the beliefs and principles found in the vision of the school for high student achievement
      - ensures that faculty members considered for employment reflect the school's vision and commitment to high student achievement and continuous improvement
      - works with all staff to assure maximum opportunities for success
      - maintains confidentiality and privacy of school records

continues

Principal and Assistant Principal Self-Assessment Form continued

B. **Spends time ensuring that new hires are properly brought into the school's culture successfully—RATING: ______**
- is an advocate for the new teacher
- personally meets with new teachers individually to discuss professional issues
- assigns a "buddy" teacher and/or a mentor teacher who has specific skills in the new teacher's area of concern
- provides professional development activities that are relevant to the teacher's instructional interests and includes opportunities to reflect and develop new approaches to solving instructional problems
- provides frequent opportunities for new teachers to observe and interact one-on-one with "master teachers"

C. **Provides specific guidance for teachers trying to solve instructional problems—RATING: ______**
- uses effective problem-framing and problem-solving skills
- identifies potential problems and opportunities
- confronts and resolves problems in a timely manner
- helps the teacher identify resources that address specific problems
- provides and sustains a resource library for professional growth
- ensures faculty access to resource persons with experience in solving various instructional problems
- allocates resources in a fair and equitable manner
- solicits input for and plans special seminars related to topics of interest and need to faculty

D. **Helps new teachers gain expertise and confidence in their teaching—RATING: ______**
- is an advocate for the new teacher
- is an effective evaluator of instruction
- provides guidance and mentoring to new teachers and others having trouble with specific situations
- personally meets with new teachers individually to discuss professional issues
- assigns a "buddy" teacher and/or mentor teacher who has specific skills in the new teacher's area of concern
- provides professional development activities that are relevant to the teacher's instructional interests and includes opportunities to reflect and develop new approaches to solving instructional problems
- provides frequent opportunities for new teachers to observe and interact one-on-one with "master teachers"
- provides frequent formative feedback with concrete suggestions for improvement
- assigns fair and reasonable duties to new teachers
- monitors the progress of the mentor–new teacher relationship and intervenes as necessary
- plans special seminars and workshops of interest to the new teacher
- collects and uses feedback from new teachers regarding the effectiveness of new teacher preparation programs

continues

Principal and Assistant Principal Self-Assessment Form continued

E. **Works with experienced teachers to help them continue to grow and develop as accomplished professionals—RATING: ______**
   - provides opportunities for problem analysis and professional reflection
   - seeks opportunities to involve experienced teachers in challenging yet professionally motivating professional experiences that enrich their professional skill level
   - provides leadership opportunities in areas of interest to the experienced teacher
   - encourages teachers to be innovative in the delivery of instruction
   - demands high levels of professionalism with regard to student behavior management, interaction with parents and community members, instructional program quality, and moral and ethical behavior

F. **Uses performance as a means to help others improve continuously—RATING: ______**
   - uses knowledge of learning, teaching, and student development to guide professional development decisions
   - reviews the effectiveness of mentor assignments to assure that the team assignments are achieving the school's vision of high student achievement
   - ensures that human resource functions support the attainment of school goals

G. **Properly differentiates the standards of performance evaluation for different ranges of experience and expertise—RATING: ______**
   - takes into account the formative needs of new staff members in developing a strategy for personnel evaluation
   - allows more experienced teachers to use personnel evaluation approaches that challenge their professional goals for continuous improvement
   - provides opportunities for staff to develop collaborative skills
   - provides opportunities for staff to develop skill-based and project-based personnel appraisals

H. **Actively creates or develops programs that enable the school to support and retain the teachers who should be retained—RATING: ______**
   - uses data collected from resigning and transferring teachers to improve the functions of the human relations program of the school
   - benchmarks school data regarding personnel turnover with other data such as student achievement, faculty absenteeism, parent involvement, etc. to continuously improve the school human relations program
   - treats people fairly, equitably, and with dignity and respect
   - protects the rights and confidentiality of students and staff

I. **Suggested Artifacts**
   - school curriculum and financial audits
   - hiring records
   - school board minutes
   - letters and memoranda
   - mentor records
   - professional development calendar
   - personnel evaluations
   - recruiting literature

continues

Principal and Assistant Principal Self-Assessment Form continued

- personnel exit interviews
- schedule of staff development activities
- school budget
- school disciplinary records
- school improvement plans
- school master schedule
- school and community survey data
- teacher evaluation documentation and surveys

4. **Information management**—ensures that another's need to have information is their personal assurance that others will receive the information they need; for example:

A. **Provides appropriate and timely feedback to all affected constituencies and clients—RATING: ______**
   - uses assessment data related to student learning to develop the school's vision and goals
   - uses relevant demographic data pertaining to students and their families in developing the school's mission and goals
   - sends reports to parents regarding student progress that are timely, easy to understand, and accurately portray student progress toward mastery of the curriculum
   - uses technology to facilitate more effective access to school-generated data

B. **Ensures that people who require information to perform effectively receive it in a timely manner—RATING: ______**
   - provides detailed reports prepared from disaggregated instructional and testing data to assist faculty to better focus instruction on the required curriculum
   - monitors instruction frequently so that adjustments can be made to increase the effectiveness of classroom instruction
   - uses information about family and community concerns, expectations, and needs regularly

C. **Uses appropriate technological tools to manage and manipulate instructional information—RATING: ______**
   - implements a management system to manage and monitor classroom and individual student performance data
   - uses spreadsheets, state testing tools, and other technological media to organize and report progress of various subgroups of students and to illustrate the need to change instruction
   - creates feedback systems to report progress and refocus the school on achievement of goals for all students

D. **Submits accurate records and reports on time—RATING: ______**
   - provides reports to parents in a timely and informative manner
   - submits required reports to supervisors accurately and in a timely manner
   - assures a timely distribution of information about event announcements to faculty

E. **Suggested Artifacts**
   - PTA minutes
   - school board minutes
   - anecdotal records
   - various disaggregated testing and school improvement reports

continues

Principal and Assistant Principal Self-Assessment Form continued

- letters to parents
- copies of submitted reports

5. **Student behavior management**—ensures that the school manages student conduct to facilitate maintaining a safe and orderly school climate conducive to high student performance; for example:
   A. **Develops procedures for dealing with student misconduct that are prompt, fair, and reasonable—RATING: ______**
      - treats all individuals with fairness, dignity, and respect
      - categorizes student misconduct and assigns consequences for misconduct according to the impact on safety issues and the school learning environment
      - develops, publishes, and widely distributes booklets or other publications that classify and clarify the school's rules and consequences for misconduct
      - offers professional development for faculty and staff to assist them in better understanding the relationship of positive school climate to higher student achievement
      - offers training for students to enlist their assistance in creating a more positive school environment
      - works with individual families regarding their child(ren)'s safety violations in a positive manner to eliminate long-term problem areas
      - appropriately involves school safety officers to assure a safe school campus
      - uses effective conflict resolution skills
      - provides training for students and faculty to assure a comprehensive understanding of the rules of the school and their consequences

   B. **Develops and enforces a code of student conduct in a firm, fair, and consistent manner—RATING: ______**
      - develops and distributes student and faculty handbooks that are consistent with the school's vision and goals, local school board policy, and state policy and law
      - deals with misconduct promptly and fairly in a manner designed to address the underlying causes of the misconduct
      - treats all individuals with fairness, dignity, and respect
      - ensures that all staff approach matters related to student behavior with professionalism, dignity, and respect
      - develops, publishes, and widely distributes booklets or other publications that classify and clarify the school's rules and penalties for misconduct

   C. **Handles student discipline problems with a level of responsiveness appropriate to the severity of the problem—RATING: ______**
      - categorizes student misconduct into classifications and assigns penalties for misconduct according to its impact on safety issues and the school-learning environment
      - investigates incidents thoroughly to ensure that sufficient information is available for a fair and informed decision

   D. **Develops and monitors a safe school plan, anticipating potential trouble spots and dealing with them in advance—RATING: ______**
      - ensures that the school strategic plan includes a safe schools component that addresses the rules, desired behaviors, teachers' guidelines, and other responsibilities for developing the behavior management program of the school

continues

Principal and Assistant Principal Self-Assessment Form continued

- makes recommendations and adjustments to all school functions and facilities as needed to assure a safe environment

E. **Suggested Artifacts**
- code of conduct brochures
- dropout data
- letters and memoranda
- safe schools report
- school strategic (safety) plan
- student and faculty handbooks
- suspension and other disciplinary reports
- schedules of training activities
- student discipline records and reports

6. **Other locally identified instructional leadership standards**

Note: These evaluation instruments and processes meet standards and criteria established by the State Board of Education and are available to be used to do performance evaluations for assistant principals, principals, and central office administrators.

Source: Principal/Assistant Principal and Central Office Evaluation Process, Principal's Executive Program, Center for School Leadership Development, the University of North Carolina, Chapel Hill, North Carolina, www.ga.unc.edu/pep/resources.

School Staff Survey

Please print school name: ____________________________________

Dear Staff Member: The purpose of this School Staff Survey is to provide the principal of your school with staff perception on how well he or she is leading the school. Thank you for your help.

Instructions: Please use a #2 pencil to fill in the box that indicates your response. For each item, indicate to what extent your principal shows that leadership quality—whether **Poor, Limited, Good** or **Great** (or **Not Applicable**)—by marking the appropriate box.

PRINCIPAL: To what extent does the Principal:

	Poor	Limited	Good	Great	N/A
1. Involve staff in resolving school problems?					
2. Trust you to produce expected results?					
3. Involve staff in setting school directions?					
4. Treat you with respect?					
5. Provide focused instructional leadership?					
6. Support you in your work?					
7. Support shared decision making?					
8. Assist you in achieving your annual goals and targets?					
9. Promote collaborative working relationships?					
10. Promote positive staff morale?					
11. Provide regular feedback on your work performance?					
12. Respect staff rights established by law or contract?					
13. Maintain a safe and orderly campus?					
14. Conduct staff meetings that are relevant and efficient?					
15. Stress the need for continuous progress in student achievement?					
16. Give staff reasonable job-related directives?					
17. Ensure that he or she is visible on campus?					
18. Provide time to be accessible to staff?					
19. Provide effective leadership for the school?					
20. Have the confidence and support of school staff?					

continues

School Staff Survey continued

DISTRICT: To what extent does the:

	Poor	Limited	Good	Great	N/A
21. Superintendent provide effective leadership for the district?					
22. Board of Education provide effective leadership for the district?					
23. District's strategic plan, High Standards, Great Results provide an effective roadmap for instructional improvement?					

DISTRICT

24. Do you feel that customer service has improved throughout the district (circle one)?

Yes No Not Sure

YOUR POSITION

25. Please circle the appropriate position that you hold at your school site.

Classified Certified

COMMENTS:

Source: Copyright © 2001, Sacramento City Unified School District, Sacramento, California.

Teacher Survey

Administrator's Name: ______________________ School: ______________________

Position: ☐ Principal ☐ Vice Principal ☐ House Administrator ☐ CASE ☐ Other:

Central Office Administrator (list position):

Instructions: For each of the following statements, check the box of the response that best reflects your assessment of your Administrator. Feel free to add comments for any item on the back of this sheet.

		Usually	Sometimes	Rarely	Don't Know	Doesn't Apply
1.	Exercises authority in a fair and consistent manner.					
2.	Helps maintain an orderly school environment.					
3.	Provides for meaningful faculty involvement in school/district decisions.					
4.	Provides support to faculty/schools in student discipline cases.					
5.	Maintains high standards of conduct for students.					
6.	Genuinely supports faculty/schools in fostering pupil achievement.					
7.	Welcomes constructive criticism and benefits from it.					
8.	Utilizes available financial resources to improve instruction.					
9.	Fosters high faculty/school morale.					
10.	Treats teachers with dignity and as professionals.					
11.	Supports faculty against unwarranted attacks and criticism.					
12.	Recognizes achievements of individual faculty members.					
13.	Encourages initiative and creativity by faculty.					
14.	Fairly applies supervision and evaluation of faculty.					
15.	Attempts to reduce classroom interruptions.					
16.	Does all possible to lessen paperwork and non-teaching duties.					
17.	Assigns tasks fairly and equitably.					
18.	Ensures that faculty/citywide meetings are meaningful.					
19.	Respects and adheres to negotiated contracts.					

Any additional relevant comments may be written on the other side of this sheet.

Courtesy of Rochester Teachers Association (NYSUT/AFT), Rochester, New York, contact Tom Gillett, 716-546-2681, tgillet@servtech.com.

BEST COPY AVAILABLE

Elementary School Student Survey

Please print school name: ______________________________

Dear Student: We value your opinion. Your responses to this very important survey will help us improve the quality of programs and services at your school. Thank you for your help.

Instructions: Please use a #2 pencil to fill in the bubble for your response to the following questions. If you are not able to make a decision, mark the **Don't Know** bubble.

ABOUT YOUR SCHOOL	**Yes**	**No**	**Don't Know**
1. Does your teacher tell you how you are doing with your schoolwork?	○	○	○
2. Does your teacher treat your class fairly?	○	○	○
3. Does your teacher help you when you need it?	○	○	○
4. Are the people in the office nice to you?	○	○	○
5. Is your school clean?	○	○	○
6. Do you feel safe at school?	○	○	○
7. Do you believe you can be successful at school?	○	○	○
8. Did your teacher tell you what you need to learn this year?	○	○	○
9. Do you see the principal in your classroom?	○	○	○
10. Is daily attendance important at your school?	○	○	○
11. Do most of the students at your school get along with each other?	○	○	○
12. Do you get recognized for good work?	○	○	○
13. Do you get help at home with your schoolwork?	○	○	○
14. Do you use the school library at least once a week?	○	○	○
15. Do you use computers at school at least once a week?	○	○	○

Source: Copyright © 2001, Sacramento City Unified School District, Sacramento, California.

Middle School Student Survey

Please print school name: ______________________________

Dear Student: We value your opinion. Your responses to this very important survey will help us improve the quality of programs and services at your school. Thank you for your help.

Instructions: Please use a #2 pencil to fill in the bubble for your response to the following questions. If you are not able to make a decision, mark the **Don't Know** bubble.

ABOUT YOUR SCHOOL	Yes	No	Don't Know
1. Do you know how your grades are determined?	○	○	○
2. Do the teachers treat their classes fairly?	○	○	○
3. Do you get help when you request it from your teachers?	○	○	○
4. Are school staff in the front office nice to you?	○	○	○
5. Is your school clean?	○	○	○
6. Do you feel safe at school?	○	○	○
7. Do you feel successful at school?	○	○	○
8. Did your teachers tell you what you need to learn this year?	○	○	○
9. Do you feel that the principal and vice-principal are approachable when you have a concern or problem?	○	○	○
10. Is daily attendance important at your school?	○	○	○
11. Are most students well-behaved at your school?	○	○	○
12. Do you find schoolwork interesting?	○	○	○
13. Is there someone who can help you with your homework?	○	○	○
14. Do you use a library at least once a week?	○	○	○
15. Do you use computers at school or home at least once a week?	○	○	○

Source: Copyright © 2001, Sacramento City Unified School District, Sacramento, California.

High School Student Survey

Please print school name: ______________________________

Dear Student: We value your opinion. Your responses to this very important survey will help us improve the quality of programs and services at your school. Thank you for your help.

Instructions: Please use a #2 pencil to fill in the bubble for your response to the following questions. If you are not able to make a decision, mark the **Don't Know** bubble.

ABOUT YOUR SCHOOL		**Yes**	**No**	**Don't Know**
1.	Do you know how your grades are determined?	○	○	○
2.	Do the teachers treat their classes fairly?	○	○	○
3.	Do you get help when you request it from your teachers?	○	○	○
4.	Are school staff in the front office nice to you?	○	○	○
5.	Is your school clean?	○	○	○
6.	Do you feel safe at school?	○	○	○
7.	Do you feel successful at school?	○	○	○
8.	Did your teachers tell you what you need to learn this year?	○	○	○
9.	Do you feel that the principal and vice-principal are approachable when you have a concern or problem?	○	○	○
10.	Is daily attendance important at your school?	○	○	○
11.	Are most students well-behaved at your school?	○	○	○
12.	Do you find schoolwork interesting?	○	○	○
13.	Is there someone who can help you with your homework?	○	○	○
14.	Do you use a library at least once a week?	○	○	○
15.	Do you use computers at school or home at least once a week?	○	○	○
16.	Are you aware of your school's effort to redesign your high school?	○	○	○
17.	Does the educational process in your high school need to be changed?	○	○	○
18.	Have you completed a youth survey?	○	○	○

Source: Copyright © 2001, Sacramento City Unified School District, Sacramento, California.

Elementary School Parent Survey

Please print school name: ________________________________

Dear Parents: The end of the 2000–2001 school year marks the third year of implementation of our district's new accountability plan. A part of this plan is the parent survey. We value your opinion, and your responses to this very important survey will help us judge how well your student's school is meeting its accountability goals. Please take a few minutes to answer the questions below. Add any comments you wish on the back of this survey form and return it to your student's school. Thank you for your help.

Instructions: Please use a #2 pencil to fill in the box that indicates your response. Do NOT use white-out.

ABOUT YOUR SCHOOL	**Yes**	**No**	**Not Sure**
1. Are you satisfied with your student's progress in school?	☐	☐	☐
2. Do you get frequent information about your student's progress in school?	☐	☐	☐
3. Does your student receive the help needed to succeed in school?	☐	☐	☐
4. Is reading a focus of the school?	☐	☐	☐
5. Are you satisfied with how the school staff address your concerns?	☐	☐	☐
6. Do the front office staff make you feel welcome?	☐	☐	☐
7. Does the school provide you with regular communication (i.e., newsletters, weekly bulletins, etc.)?	☐	☐	☐
8. Do you feel welcome at your student's school?	☐	☐	☐
9. Does the principal provide effective leadership for the school?	☐	☐	☐

10. What grade (circle one) would you give your student's school on the quality of education it provides?

A B C D F

continues

Elementary School Parent Survey continued

ABOUT THE DISTRICT		Yes	No	Not Sure
11.	Does the Superintendent provide effective leadership for the district?	○	○	○
12.	Does the Board of Education provide effective leadership for the district?	○	○	○
13.	Does the district involve parents in decisions that affect their students?	○	○	○
14.	Do you feel that customer service has improved throughout the district?	○	○	○
15.	Do you feel informed about what is going on in the district?	○	○	○

COMMENTS

Source: Copyright © 2001, Sacramento City Unified School District, Sacramento, California.

Cuestionario Para Padres de Familia

Nombre de la escuela: ______________________________

Estimados Padres de familia: El final del año escolar 2000–2001 marca el tercer año de implementación del nuevo plan de responsabilidad de nuestro distrito. Parte de este plan es el cuestionario de los padres de familiá. Nosotros valoramos su opinión y sus respuestas a este importante cuestionario que nos ayudará a juzgar como la escuela de su hijo/a está satisfaciendo sus objetivos de responsabilidad. Por favor tome unos pocos minutos para contestar las preguntas abajo y detrás de este cuestionario y regréselo a la escuela de su hijo/a. Gracias por su ayuda.

Por favor use un lápiz #2 para rellenar la burbuja que mejor experese su respuesta. NO USE corrector ni tampoco doble este cuestionario.

SOBRE TU ESCUELA	**Si**	**No**	**No Sé**
1. ¿Está usted satisfecho con el progreso de su hijo/a en la escuela?	○	○	○
2. ¿Tiene usted información del progreso de su hijo/a?	○	○	○
3. ¿Recibe su hijo/a ayuda para progresar en la escuela?	○	○	○
4. ¿Es importante la lectura en la escuela de su hijo/a?	○	○	○
5. ¿Está usted satisfecho como el personal docente de la escuela dirige sus inquietudes?	○	○	○
6. ¿Le hace sentir bienvenido el personal de la oficina?	○	○	○
7. ¿Le provee la escuela con información (Ejemplo: periódicos, panfletos, boletines semanales)?	○	○	○
8. ¿Se siente usted bienvenido en la escuela de su hijo/a?	○	○	○
9. ¿El director de la escuela hace un buen trabajo como líder?	○	○	○

10. ¿Qué grado le daría usted a la escuela de su hijo/a en la calidad de educaci ón que ofrece?

A B C D F

continúa

Cuesitonario Para Padres de Familia continuación

SOBRE EL DISTRITO ESCOLAR	Sí	No	No Sé
11. ¿El superintendente provee efectivo liderazgo?	○	○	○
12. ¿La Mesa Directiva provee efectivo liderazgo para el distrito?	○	○	○
13. ¿El distrito pregunta a los padres en las decisiones que afectan a sus niños?	○	○	○
14. ¿Piensa usted que el servicio del distrito ha mejorado?	○	○	○
15. ¿Usted se siente informado con lo que está pasando en el distrito?	○	○	○

Source: Copyright © 2001, Sacramento City Unified School District, Sacramento, California.

Middle School Parent Survey

Please print school name: ______________________________

Dear Parents: The end of the 2000–2001 school year marks the third year of implementation of our district's new accountability plan. A part of this plan is the parent survey. We value your opinion, and your responses to this very important survey will help us judge how well your student's school is meeting its accountability goals. Please take a few minutes to answer the questions below. Add any comments you wish on the back of this survey form and return it to your student's school. Thank you for your help.

Instructions: Please use a #2 pencil to fill in the box that indicates your response. Do NOT use white-out.

ABOUT YOUR SCHOOL	**Yes**	**No**	**Not Sure**
1. Are you satisfied with your student's progress in school?	☐	☐	☐
2. Do you get frequent information about your student's progress in school?	☐	☐	☐
3. Do your student receive the help needed to succeed in school?	☐	☐	☐
4. Is reading a focus of the school?	☐	☐	☐
5. Are you satisfied with how the school staff address your concerns?	☐	☐	☐
6. Do the front office staff make you feel welcome?	☐	☐	☐
7. Does the school provide you with regular communication (i.e., newsletters, weekly bulletins, etc.)?	☐	☐	☐
8. Do you feel welcome at your student's school?	☐	☐	☐
9. Does the principal provide effective leadership for the school?	☐	☐	☐

10. What grade (circle one) would you give your student's school on the quality of education it provides?

A B C D F

continues

Middle School Parent Survey continued

ABOUT THE DISTRICT

		Yes	No	Not Sure
11.	Does the Superintendent provide effective leadership for the district?	○	○	○
12.	Does the Board of Education provide effective leadership for the district?	○	○	○
13.	Does the district involve parents in decisions that affect their students?	○	○	○
14.	Do you feel that customer service has improved throughout the district?	○	○	○
15.	Do you feel informed about what is going on in the district?	○	○	○

COMMENTS

Source: Copyright © 2001, Sacramento City Unified School District, Sacramento, California.

Cuestionario Para Padres de Familia

Nombre de la escuela: ____________________________________

Estimados Padres de familia: El final del año escolar 2000–2001 marca el tercer año de implementación del nuevo plan de responsabilidad de nuestro distrito. Parte de este plan es el cuestionario de los padres de familiá. Nosotros valoramos su opinión y sus respuestas a este importante cuestionario que nos ayudará a juzgar como la escuela de su hijo/a está satisfaciendo sus objetivos de responsabilidad. Por favor tome unos pocos minutos para contestar las preguntas abajo y detrás de este cuestionario y regréselo a la escuela de su hijo/a. Gracias por su ayuda.

Por favor use un lápiz #2 para rellenar la burbuja que mejor experese su respuesta. NO USE corrector ni tampoco doble este cuestionario.

SOBRE TU ESCUELA	**Sí**	**No**	**No Sé**
1. ¿Está usted satisfecho con el progreso de su hijo/a en la escuela?	○	○	○
2. ¿Tiene usted información del progreso de su hijo/a?	○	○	○
3. ¿Recibe su hijo/a ayuda para progresar en la escuela?	○	○	○
4. ¿Es importante la lectura en la escuela de su hijo/a?	○	○	○
5. ¿Está usted satisfecho como el personal docente de la escuela dirige sus inquietudes?	○	○	○
6. ¿Le hace sentir bienvenido el personal de la oficina?	○	○	○
7. ¿Le provee la escuela con información (Ejemplo: periódicos, panfletos, boletines semanales)?	○	○	○
8. ¿Se siente usted bienvenido en la escuela de su hijo/a?	○	○	○
9. ¿El director de la escuela hace un buen trabajo como líder?	○	○	○

10. ¿Qué grado le daría usted a la escuela de su hijo/a en la calidad de educaci ón que ofrece?

A B C D F

continúa

Cuesitonario Para Padres de Familia continuación

SOBRE EL DISTRITO ESCOLAR	Sí	No	No Sé
11. ¿El superintendente provee efectivo liderazgo?	○	○	○
12. ¿La Mesa Directiva provee efectivo liderazgo para el distrito?	○	○	○
13. ¿El distrito pregunta a los padres en las decisiones que afectan a sus niños?	○	○	○
14. ¿Piensa usted que el servicio del distrito ha mejorado?	○	○	○
15. ¿Usted se siente informado con lo que está pasando en el distrito?	○	○	○

Source: Copyright © 2001, Sacramento City Unified School District, Sacramento, California.

High School Parent Survey

Please print school name: ______________________________

Dear Parents: The end of the 2000–2001 school year marks the third year of implementation of our district's new accountability plan. A part of this plan is the parent survey. We value your opinion, and your responses to this very important survey will help us judge how well your student's school is meeting its accountability goals. Please take a few minutes to answer the questions below. Add any comments you wish on the back of this survey form and return it to your student's school. Thank you for your help.

Instructions: Please use a #2 pencil to fill in the box that indicates your response. Do NOT use white-out.

ABOUT YOUR SCHOOL	**Yes**	**No**	**Not Sure**
1. Are you satisfied with your student's progress in school?	○	○	○
2. Do you get frequent information about your student's progress in school?	○	○	○
3. Does your student receive the help needed to succeed in school?	○	○	○
4. Is reading a focus of the school?	○	○	○
5. Are you satisfied with how the school staff address your concerns?	○	○	○
6. Do the front office staff make you feel welcome?	○	○	○
7. Does the school provide you with regular communication (i.e., newsletters, weekly bulletins, etc.)?	○	○	○
8. Do you feel welcome at your student's school?	○	○	○
9. Does the principal provide effective leadership for the school?	○	○	○

10. What grade (circle one) would you give your student's school on the quality of education it provides?

A B C D F

continues

High School Parent Survey continued

ABOUT THE DISTRICT	**Yes**	**No**	**Not Sure**
11. Does the Superintendent provide effective leadership for the district?	○	○	○
12. Does the Board of Education provide effective leadership for the district?	○	○	○
13. Does the district involve parents in decisions that affect their students?	○	○	○
14. Do you feel that customer service has improved throughout the district?	○	○	○
15. Do you feel informed about what is going on in the district?	○	○	○
16. Are you aware of the district's E-21 effort to redesign your child's High School?	○	○	○
17. Does the educational process in your child's High School need to be changed?	○	○	○

COMMENTS

Source: Copyright © 2001, Sacramento City Unified School District, Sacramento, California.

Cuestionario Para Padres de Familia

Nombre de la escuela: ______________________________

Estimados Padres de familia: El final del año escolar 2000–2001 marca el tercer año de implementación del nuevo plan de responsabilidad de nuestro distrito. Parte de este plan es el cuestionario de los padres de familiá. Nosotros valoramos su opinión y sus respuestas a este importante cuestionario que nos ayudará a juzgar como la escuela de su hijo/a está satisfaciendo sus objetivos de responsabilidad. Por favor tome unos pocos minutos para contestar las preguntas abajo y detrás de este cuestionario y regréselo a la escuela de su hijo/a. Gracias por su ayuda.

Por favor use un lápiz #2 para rellenar la burbuja que mejor experese su respuesta. NO USE corrector ni tampoco doble este cuestionario.

SOBRE TU ESCUELA	**Sí**	**No**	**No Sé**
1. ¿Está usted satisfecho con el progreso de su hijo/a en la escuela?	○	○	○
2. ¿Tiene usted información del progreso de su hijo/a?	○	○	○
3. ¿Recibe su hijo/a ayuda para progresar en la escuela?	○	○	○
4. ¿Es importante la lectura en la escuela de su hijo/a?	○	○	○
5. ¿Está usted satisfecho como el personal docente de la escuela dirige sus inquietudes?	○	○	○
6. ¿Le hace sentir bienvenido el personal de la oficina?	○	○	○
7. ¿Le provee la escuela con información (Ejemplo: periódicos, panfletos, boletines semanales)?	○	○	○
8. ¿Se siente usted bienvenido en la escuela de su hijo/a?	○	○	○
9. ¿El director de la escuela hace un buen trabajo como líder?	○	○	○

10. ¿Qué grado le daría usted a la escuela de su hijo/a en la calidad de educación que ofrece?

A B C D F

continúa

Cuesitonario Para Padres de Familia continuación

SOBRE EL DISTRITO ESCOLAR

	Si	No	No Sé
11. ¿El superintendente provee efectivo liderazgo?	○	○	○
12. ¿La Mesa Directiva provee efectivo liderazgo para el distrito?	○	○	○
13. ¿El distrito pregunta a los padres en las decisiones que afectan a sus niños?	○	○	○
14. ¿Piensa usted que el servicio del distrito ha mejorado?	○	○	○
15. ¿Usted se siente informado con lo que está pasando en el distrito?	○	○	○
16. ¿Sabe usted del programa E-21en el distrito para reconstruir la escuela de su hijo/hija?	○	○	○
17. ¿Necesita cambio el preceso educacional en la esculea de su hijo/hija?	○	○	○

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SETTING JOB TARGETS

Job targets should be objective, observable, and measurable. Each target should be written with four distinct parts: *target, conditions, anticipated performance,* and *data indicating target achievement.*

1. the *target* should be described as a specific performance objective. For example, one of the targets might be to develop a schoolwide discipline plan and to apply it consistently.
2. The *conditions* leading to the development of the discipline plan might include meeting with a committee of teachers during the weeks preceding the next scheduled faculty meeting to discuss discipline problems and ways to resolve these problems.
3. The *anticipated performance* would be the presentation and explication of the new discipline plan developed by the principal, working in collaboration with this faculty committee at the next scheduled faculty meeting.
4. The *data indicating target achievement* would be discipline referrals showing consistent implementation of the adopted schoolwide discipline plan.

Source: Bernadette Marczely, *Supervision in Education: A Differentiated Approach with Legal Perspectives,* Aspen Publishers, Inc., © 2001.

Job Targets Form

Name of employee: ______________________________

Assignment: ______________________________

Preconference date: ______________________________

Target areas cited by the Superintendent:

Target areas cited by the employee:

Expected outcomes:

Courtesy of North Chicago Community Unit School District 187, North Chicago, Illinois.

EVALUATION PORTFOLIO MODEL

The evaluation portfolio model is based upon the premise that the process for portfolio development includes job-related or job-specific (authentic) leadership assessment. Assessment describes the performance of the individual at a specific point in time, and it marks the individual's progress toward established goals. The evaluation portfolio model depicts assessment not only as a specific point in time (for example, every five years), but also as continuous. It includes self-assessment, as well as assessment from a variety of sources. The model prescribes an evaluation or appraisal time period that blends assessment and appraisal. The point of the evaluation portfolio model is to promote continuous self-assessment and improvement in the principal's practice. The model provides a process for demonstrating, through artifacts and reflections, progress and accomplishments over time. It also acts as a mechanism to organize evidence of that progress toward professional goals.

EVALUATION PORTFOLIO MODEL

Phase I: Baseline Assessment

A. Assessment for data collection and goal setting
- Self and others

Assessment Method	Assessment Type
Assessment Center Feedback	Job-related
360° Feedback	Job related
Inventory/Survey Results	Job related
Evidences of Leadership Performance	Job-specific
Feedback from Peers, Mentors, and Supervisors	Job-specific
State Requirements for Evaluation	

Phase II: Portfolio Development and Continued Assessment

A. Professional development plan
  - Goals determination by standards (include in portfolio)
  - Professional development activities (include in portfolio)
  - Campus-related activities

B. Professional development activity engagement
  - Activity documentation
    - artifacts (include in portfolio)
    - reflections (include in portfolio)

C. Feedback from peer coaches, mentors, and supervisor

D. Professional development plan modification

Phase III: Summative Evaluation

A. Use of the evaluation portfolio should provide the principal with some control over his or her own evaluation.

B. The supervisor should certainly be involved in setting goals and providing critical feedback in the gathering of the data in Phase I.

C. It is critical that the evaluation portfolio be presented and shared during the summative evaluation conference.

D. It is recommended that district standards for principals be adopted and used during Phase II to develop the portfolio.

E. It is recommended that rubrics be developed by the principals and their supervisors as a collaborative group.

Courtesy of Dr. Genevieve Brown, Professor and Chair, Department of Leadership and Counseling, and Dr. Beverly J. Irby, Professor and Director, Center for Research and Doctoral Studies in Educational Leadership, Sam Houston State University, Huntsville, Texas.

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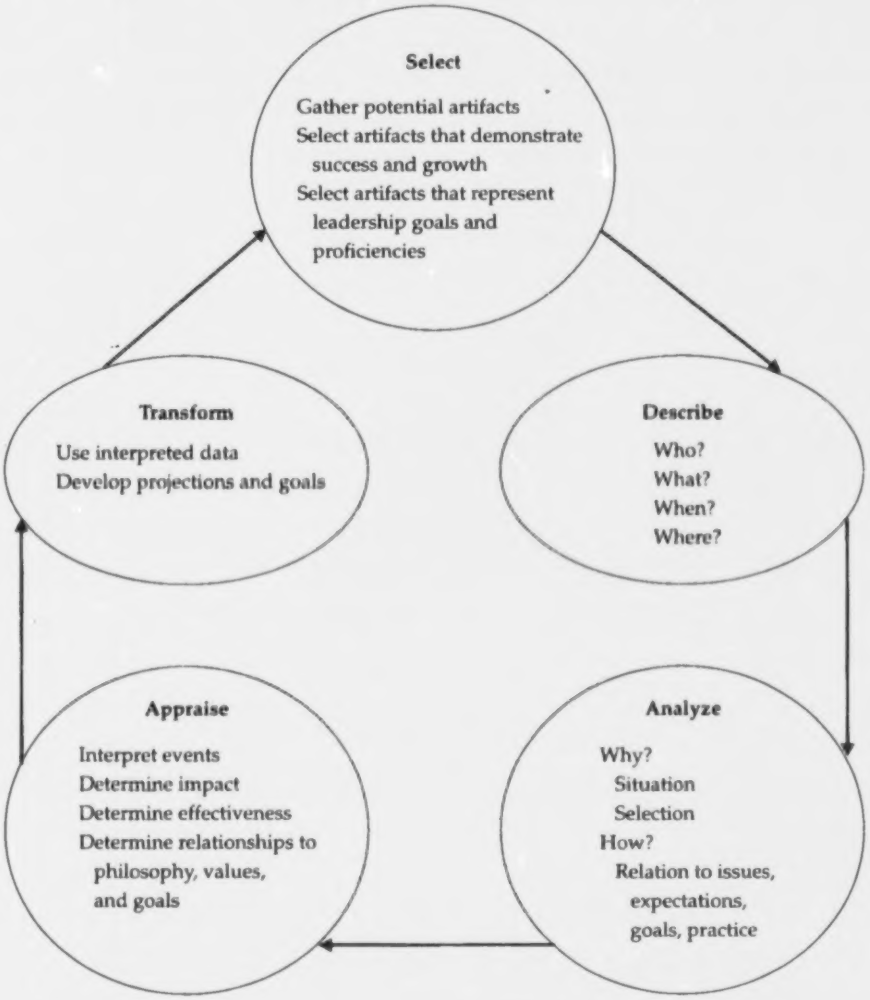
ARTIFACTS AND REFLECTIONS

The artifacts and reflections are the heart of the evaluation portfolio. Leaders who have developed portfolios report that the processes of selecting viable samples of work and writing accompanying reflections are beneficial in denoting areas of needed improvement, in assisting in maintaining focus, and in providing new perspectives and creative insights. Our research has indicated the need for a structure for writing reflections and selecting appropriate artifacts. The reflection cycle below provides a structure for aligning goals to artifacts for inclusion in the portfolio.

The five steps of the cycle offer critical prompts. Steps 1 and 2 of the cycle focus on the selection of the artifact and the description of the circumstances surrounding it. It is the selected artifact in the evaluation portfolio that serves as concrete evidence of the leader's professional development experiences.

THE REFLECTION CYCLE*



Select

Gather potential artifacts
Select artifacts that demonstrate success and growth
Select artifacts that represent leadership goals and proficiencies

Describe

Who?
What?
When?
Where?

Analyze

Why?
  Situation
  Selection
How?
  Relation to issues, expectations, goals, practice

Appraise

Interpret events
Determine impact
Determine effectiveness
Determine relationships to philosophy, values, and goals

Transform

Use interpreted data
Develop projections and goals

*Source: Genevieve Brown and Beverly J. Irby, The Administrative Portfolio Evaluation System Institute Manual, Sam Houston State University Press, © 1996.

Courtesy of Dr. Genevieve Brown, Professor and Chair, Department of Leadership and Counseling, and Dr. Beverly J. Irby, Professor and Director, Center for Research and Doctoral Studies in Educational Leadership, Sam Houston State University, Huntsville, Texas.

Professional Development Plan

Name: ______________________

Prioritized Standards/ Indicators (Ultimately to be agreed upon with supervisor)	Professional Goals	Professional Development Experiences	Timeline	Documentation (artifacts and reflections)	Feedback Requested/ From Whom

Courtesy of Dr. Genevieve Brown, Professor and Chair, Department of Leadership and Counseling, and Dr. Beverly J. Irby, Professor and Director, Center for Research and Doctoral Studies in Educational Leadership, Sam Houston State University, Huntsville, Texas.

CONSIDERATIONS FOR RUBRIC DEVELOPMENT

1. Evaluation is the main purpose of the portfolio for which the rubric is being developed. Although professional growth is inherent in this evaluation system, because personnel decisions will result, this principal evaluation portfolio is subject to more exact and intense scrutiny than the portfolio that has professional growth as its sole purpose.
2. The relevance or meaningfulness of the artifact to the selected criteria and the explanation of how the experience or activity demonstrates mastery or progress toward mastery are paramount. What must be evaluated is the principal's ability to analyze or interpret the problem or situation, to select and use appropriate strategies to solve the problem or address the situation, and to appropriately connect the activity to the criteria and to improved or improving leadership practice.
3. The action, practice, skill, or performance of the principal on the selected criteria or domain and the explanation of how that relates to improved practice and schooling are evaluated, not the writing skill, mechanics, or spelling represented in the reflection, the bulk, the number of artifacts, or the attractiveness of the portfolio.
4. The ability of the principal to describe the meaning of the experience or the activity to his or her own success in improving practice and teacher and student performance is critical.
5. The rubrics must have sufficient detail so that all stakeholders are clear regarding what represents mastery or non-mastery of the various leadership criteria.
6. The descriptors of mastery must be genuine "benchmarks," not just "cut-off points."

Courtesy of Dr. Genevieve Brown, Professor and Chair, Department of Leadership and Counseling, and Dr. Beverly J. Irby, Professor and Director, Center for Research and Doctoral Studies in Educational Leadership, Sam Houston State University, Huntsville, Texas.

PORTFOLIO ASSESSMENT GUIDELINES

These guidelines have been compiled from interviews of superintendents who use portfolio assessment. Use them to develop your own form of portfolio assessment.

1. Define your reason to use portfolio assessment. What will portfolios accomplish in your evaluation process? They will
   - demonstrate principal's professional success
   - show how a goal was accomplished in the principal's building or in the district
   - provide an annual scrapbook of each school building's activities
   - provide a report that the faculty, school board, or public can review
2. Establish how you will use portfolio assessment.
   - main assessment tool
   - supplement used with a checklist or narrative
   - self-evaluation
   - other
3. What's included? Give examples of documentation that illustrate your principal's performance, which may include:
   - letters of commendation from parents or groups
   - letters or other evidence of student success
   - memos of staff meetings
   - examples of teacher evaluations showing principal input
   - test scores
   - budget paperwork or reports
   - speech made to civic organization or conference
   - awards
   - newspaper articles or photos about the principal's schools
   - articles published in professional journals or newsletters
   - other
4. How will principals display their documentation?
   - three-ring binders
   - scrapbooks
   - file folders
   - videotapes
   - audiotapes
   - combination of above formats
5. How will you evaluate portfolios?
   - one-on-one oral review
   - narrative evaluation
   - commentary written on each portfolio

Source: Copyright © 2002, Aspen Publishers, Inc.

Summative Conference Form

Instructions: Evaluator and employee discuss and complete prior to developing the principal's professional growth plan and summative evaluation instruments. This analysis document is the summary of data collected for formative purposes. This could include observations, professional development activities, evaluation folder entries, products, units of study, etc.

Employee/Observee________________________ Content Area____________ Grade(s) _____
Evaluator/Observer________________________ Position ____________________
Date of Conference (analysis)____________________ School__________________

Standards Performance Criteria	(More than one rating can be checked.)			Comments
	Met	Growth Needed	Not Met	
Standard 1: Vision of Learning				
A. The vision and mission of the school are effectively communicated to staff, parents, students, and community members.				
B. The vision and mission are communicated through the use of symbols, ceremonies, stories, and similar activities.				
C. The core beliefs of the school vision are modeled for all stakeholders.				
D. The vision is developed with and among stakeholders.				
E. The contributions of school community members to the realization of the vision are recognized and celebrated.				
F. Progress toward the vision and mission is communicated to all stakeholders.				
G. The school community is involved in school improvement efforts.				
H. An implementation plan is developed in which objectives and strategies to achieve the vision and goals are clearly articulated.				
I. Assessment data related to student learning are used to develop the school vision and goals.				

continues

Summative Conference Form continued

	(More than one rating can be checked.)			
Standards Performance Criteria	**Met**	**Growth Needed**	**Not Met**	**Comments**
J. Relevant demographic data pertaining to students and their families are used in developing the school mission and goals.				
K. Barriers to achieving the vision are identified, clarified, and addressed.				
L. Needed resources are sought and obtained to support the implementation of the school mission and goals.				
M. Existing resources are used in support of the school vision and goals.				
N. The vision, mission, and implementation plans are regularly monitored, evaluated, and revised.				
O. The vision shapes the educational programs, plans and actions.				
Standard 2: School Culture and Instructional Program				
A. All individuals are treated with fairness, dignity, and respect.				
B. Professional development promotes a focus on student learning consistent with the school vision and goals.				
C. Students and staff feel valued and important.				
D. The responsibilities and contributions of each individual are acknowledged.				
E. Barriers to student learning are identified, clarified, and addressed.				
F. Diversity is considered in developing learning experiences.				
G. Lifelong learning is encouraged and modeled.				
H. There is a culture of high expectations for self, student and staff performance.				
I. Technologies are used in teaching and learning.				
J. Student and staff accomplishments are recognized and celebrated.				

continues

Summative Conference Form continued

Standards Performance Criteria	(More than one rating can be checked.)			Comments
	Met	Growth Needed	Not Met	
K. Multiple opportunities to learn are available to all students.				
L. The school is organized and aligned for success.				
M. Curricular, co-curricular, and extra-curricular programs are designed, implemented, evaluated, and refined.				
N. Curriculum decisions are based on research, expertise of teachers, and the recommendations of learned societies.				
O. The school culture and climate are assessed on a regular basis.				
P. A variety of sources of information is used to make decisions.				
Q. Multiple sources of information regarding performance are used by staff and students.				
R. A variety of supervisory and evaluation models is employed.				
S. Pupil personnel programs are developed to meet the needs of students and their families.				
T. Student learning is assessed using a variety of techniques.				
Standard 3: Management				
A. Knowledge of learning, teaching, and student development is used to inform management decisions.				
B. Operational procedures are designed and managed to maximize opportunities for successful learning.				
C. Emerging trends are recognized, studied and applied as appropriate.				
D. Operational plans and procedures to achieve the vision and goals of the school are in place.				

continues

Summative Conference Form continued

	(More than one rating can be checked.)			
Standards Performance Criteria	**Met**	**Growth Needed**	**Not Met**	**Comments**
E. Collective bargaining and other contractual agreements related to the school are effectively managed.				
F. The school plant, equipment, and support systems operate safely, efficiently, and effectively.				
G. Time is managed to maximize attainment of organizational goals.				
H. Potential problems and opportunities are identified.				
I. Problems are confronted and resolved in a timely manner.				
J. Financial, human, and material resources are aligned to the goals of schools.				
K. The school acts entrepreneurally to support continuous improvement.				
L. Organizational systems are regularly monitored and modified as needed.				
M. Stakeholders are involved in decisions affecting schools.				
N. Responsibility is shared to maximize ownership and accountability.				
O. Effective problem-framing and problem-solving skills are used.				
P. Effective conflict resolution skills are used.				
Q. Effective group-process and consensus-building skills are used.				
R. Effective communication skills are used.				
S. A safe, clean, and aesthetically pleasing school environment is created and maintained.				
T. Human resource functions support the attainment of school goals.				
U. Confidentiality and privacy of school records are maintained.				

continues

Summative Conference Form continued

	(More than one rating can be checked.)			
Standards Performance Criteria	**Met**	**Growth Needed**	**Not Met**	**Comments**
V. There is effective use of technology to manage school operations.				
W. Fiscal resources of the school are managed responsibly, efficiently, and effectively.				
Standard 4: Collaborating with Families and Community				
A. High visibility, active involvement, and communication with the larger community are a priority.				
B. Relationships with community leaders are identified and nurtured.				
C. Information about family and community concerns, expectations, and needs is used regularly.				
D. There is outreach to different business, religious, political, and service agencies and organizations.				
E. Credence is given to individuals and groups whose values and opinions may conflict.				
F. The school and community serve one another as resources.				
G. Available community resources are secured to help the school solve problems and achieve goals.				
H. Partnerships are established with area businesses, institutions of higher education, and community groups to strengthen programs and support school goals.				
I. Community youth family services are integrated with school programs.				
J. Community stakeholders are treated equitably.				
K. Diversity is recognized and valued.				
L. Effective media relations are developed and maintained.				
M. A comprehensive program of community relations is established.				

continues

Summative Conference Form continued

Standards Performance Criteria	(More than one rating can be checked.) Met	Growth Needed	Not Met	Comments
N. Public resources and funds are used appropriately and wisely.				
O. Community collaboration is modeled for staff.				
P. Opportunities for staff to develop collaborative skills are provided.				
Standard 5: Acting with Integrity, Fairness, and in an Ethical Manner				
A. Examines personal and professional values and professional growth.				
B. Demonstrates a personal and professional code of ethics.				
C. Demonstrates values, beliefs, and attitudes that inspire others to higher levels of performance.				
D. Serves as a role model.				
E. Accepts responsibility for school operations.				
F. Considers the impact of one's administrative practices on others.				
G. Uses the influence of the office to enhance the educational program rather than for personal gain.				
H. Treats people fairly, equitably, and with dignity and respect.				
I. Protects the rights and confidentiality of students and staff.				
J. Demonstrates appreciation for and sensitivity to the diversity in the school community.				
K. Recognizes and respects the legitimate authority of others.				
L. Examines and considers the prevailing values of the diverse school community.				
M. Expects that others in the school community will demonstrate integrity and exercise ethical behavior.				
N. Opens the school to public scrutiny.				

continues

Summative Conference Form continued

Standards Performance Criteria	(More than one rating can be checked.)			Comments
	Met	Growth Needed	Not Met	
O. Fulfills legal and contractual obligations.				
P. Applies laws and procedures fairly, wisely, and considerately.				
Standard 6: Understanding, Responding to, and Influencing the Larger Political, Social Economic, Legal, and Cultural Context				
A. The environment in which schools operate is influenced on behalf of students and their families.				
B. Communication occurs among the school community concerning trends, issues, and potential changes in the environment in which schools operate.				
C. There is ongoing dialogue with representatives of diverse community groups.				
D. The school community works within the framework of policies, laws, and regulations enacted by local, state, and federal authorities.				
E. Public policy is shaped to provide quality education for students.				
F. Lines of communication are developed with decision makers outside the school.				

Courtesy of Boyle County School District, Danville, Kentucky.

Summative Evaluation Report of Administrative Performance: Principal

Instructions: Rate each of the following by placing an "X" in the appropriate box. Initial items that are to be area(s) of focus.

SECTION I—FOCUS AREA ONE: ADMINISTRATOR AS LEARNER AND FACILITATOR OF LEARNING

		Exceeds Standards		Meets Standards		Does Not Meet Standards
Areas of Focus	1. Guides current curriculum in all phases, keeps aware of new developments, and seeks opportunities to grow professionally.	Distinguished 10 9	Commendable 8 7	Competent 6 5	Fair 4 3	Unsatisfactory 2 1
	A. Is knowledgeable about curriculum, teaching strategies, and instructional materials.					
	B. Guides development, implementation, coordination, and evaluation of curriculum and instructional services to meet student needs.					
	C. Provides leadership in relation to research and trends and determines appropriateness for inclusion in the District educational program.					
	D. Works with District personnel on the improvement of individual staff competencies.					
	E. Communicates the approved curriculum to the professional staff and maintains a list of approved instructional materials.					
	F. Works with teacher's committees to effect horizontal and vertical continuity and articulation of the instructional program throughout the District.					
	G. Studies and evaluates and, as appropriate, recommends adoption of new instructional materials, methods, and programs.					
	H. Monitors the selections, development, and use of assessment to evaluate student learning and make appropriate instructional adaptations.					
	I. Coordinates formal efforts of the professional staff in projects of curriculum development.					
	J. Assumes a leadership role in gathering and interpreting information for compliance with the School Improvement process.					
	K. Plans and promotes scheduling to maximize student learning time.					
	L. Identifies needs and sets performance objectives for self and school. Achieves these goals to the extent possible.					

COMMENTS:

continues

Summative Evaluation Report of Administrative Performance continued

SECTION I—FOCUS AREA TWO: ADMINISTRATOR AS MANAGER

		Exceeds Standards		Meets Standards		Does Not Meet Standards
Areas of Focus	2. Personnel, supervision, evaluation, and staff development.	Distinguished 10 9	Commendable 8 7	Competent 6 5	Fair 4 3	Unsatisfactory 2 1
	A. Effectively assists in the selection, orientation, and development of both instructional and non-instructional staff.					
	B. Adheres to the District's Affirmative Action/Equal Employment Opportunities policies and follows building and area of supervision guidelines established for screening, interviewing, selecting, assigning, and hiring employees.					
	C. Guides development, implementation, and evaluation of pre-service and inservice training programs for professional personnel.					
	D. Provides staff leadership to ensure understanding of the educational objectives of the District.					
	E. Understands and implements agreements with bargaining units with consistency.					
	F. Observes teachers in their classrooms and offers insights for the enhancement of the teaching-learning situation.					
	G. Delegates appropriate tasks to subordinates and monitors performance.					
	H. Observes non-professional staff in their work environment and offers insights for enhancement of performance.					
	I. Develops and monitors appropriate procedures for determining needs, securing, utilizing, and maintaining the school facility, grounds, equipment, and materials.					
	J. Interprets program goals, policies, rules, and regulations to staff, students, and parents.					
	K. Demonstrates competent problem solving.					
	L. Exhibits professional appearance and behavior.					
	M. Maintains a safe clean facility for students and staff.					
	N. Manages resources for maximum benefit.					
	O. Handles discipline issues appropriately.					

COMMENTS:

continues

Summative Evaluation Report of Administrative Performance continued

SECTION I—FOCUS AREA THREE: ADMINISTRATOR AS SERVANT/PRACTITIONER

		Exceeds Standards		Meets Standards		Does Not Meet Standards
Areas of Focus	3. Reflectively seeks to contribute to the school community.	Distinguished 10 9	Commendable 8 7	Competent 6 5	Fair 4 3	Unsatisfactory 2 1
	A. Exhibits and promotes service to others as a valuable focus.					
	B. Finds creative and responsible ways to provide improved service.					
	C. Participates in district, school, and community committees and activities.					
	D. Carries out the mission of the district by contributing to the district culture.					
	E. Displays commitment to continuous improvement.					
	F. Seeks to create win-win situations through problem solving and conflict resolution.					
	G. Demonstrates and promotes integrity.					
	H. Promotes pride in individual, school, and district achievement.					
	I. Promotes loyalty to and trust in the county elementary schools.					
	J. Promotes client-centered orientation.					
	K. Models a positive attitude and fosters positive school climate.					
	L. Extends learning experiences into the community.					
	M. Models a positive work ethic.					

COMMENTS:

continues

Summative Evaluation Report of Administrative Performance continued

SECTION I—FOCUS AREA FOUR: ADMINISTRATOR AS COMMUNICATOR

		Exceeds Standards		Meets Standards		Does Not Meet Standards
Areas of Focus	4. Recognizes, models, and teaches the importance of communication.	Distinguished 10 9	Commendable 8 7	Competent 6 5	Fair 4 3	Unsatisfactory 2 1
	A. Utilizes multiple means of communication.					
	B. Communicates information clearly and consistently to all of the public, staff, parents, and community.					
	C. Plans and implements effective meetings, programs, and presentations.					
	D. Seeks and appropriately uses input from a broad representation of individuals and groups within the school community.					
	E. Develops effective partnerships with parents on behalf of students providing information to assist them in working with their child.					
	F. Is a thoughtful and responsive listener.					
	G. Demonstrates effective interpersonal skills.					
	H. Asks questions and stimulates purposeful discussion.					
	I. Communicates high expectations for achievement, attendance, and behavior.					
	J. Fosters communication between school, the home, and community by personal example and through staff.					

COMMENTS:

continues

OBSERVATION AND GENERAL SUMMARY FORM: PRINCIPAL

Name____________________ Name of Evaluator____________________ Date____________

SECTION II: Summary: Strengths and weaknesses, if any, must be identified in each area of major responsibility and supported in the Supportive Data column.

SUPPORTIVE DATA

FOCUS AREA ONE: ADMINISTRATOR AS LEARNER AND FACILITATOR OF LEARNING; CURRICULUM AND INSTRUCTIONAL LEADERSHIP (guides development, implementation, coordination, and evaluation of curriculum, keeps abreast of developments in curriculum and instruction, and seeks opportunities to grow professionally)

SUPPORTIVE DATA

FOCUS AREA TWO: ADMINISTRATOR AS MANAGER; PERSONNEL, SUPERVISION, EVALUATION, AND STAFF DEVELOPMENT (establishes and sustains collaborative management practices in response to the school district mission statement, vision, and goals)

continues

Summative Evaluation Report of Administrative Performance continued

	SUPPORTIVE DATA
FOCUS AREA THREE: ADMINISTRATOR AS SERVANT/ PRACTITIONER (actively seeks to contribute to the school)	

	SUPPORTIVE DATA
FOCUS AREA FOUR: ADMINISTRATOR AS COMMUNICATOR (acts as a liaison between District and community, interpreting the District curriculum and instruction, acts as a liaison between District and state/regional offices, recognizes, models, and teaches the importance of communicating)	

continues

Summative Evaluation Report of Administrative Performance continued

SECTION III: RECOMMENDATIONS (IF APPLICABLE)

Courtesy of Bourbonnais Elementary School District No. 53, Bourbonnais, Illinois.

Administrative Goal Record and Report Form

Instructions: Use one page per goal.

Administrator's Name

School/Position

Year

A. Goal:

B. Reason for goal:

C. What will be accomplished?

D. What support or resources (conferences, courses, mentors, etc.) will be necessary to complete the goal?

Steps toward Goal Achievement	Timeline	Measure of Success

Evaluator's Statement:

Checkpoint Dates: 1.____________ 2.____________ 3.____________ 4.____________

Courtesy of Bourbonnais Elementary School District No. 53, Bourbonnais, Illinois.

Summative Evaluation of Performance

School Year________________

Name	Assignment/Location	Years of Administrative Experience	Years in Position

Summary comments must be recorded for the following areas: (1) Overall Performance, (2) Performance Improvement Plan (if applicable).

Special Awards, Citations, Committees, and Civic Participation:

Comments of Person Being Evaluated (optional):

Conference Date:________________

Signatures: Evaluator________________ Date________________

*Person Being Evaluated________________ Date________________

*Signature indicates that the written evaluation has been seen and discussed.

Courtesy of Bourbonnais Elementary School District No. 53, Bourbonnais, Illinois.

PERFORMANCE IMPROVEMENT

TIPS TO DOCUMENT PERFORMANCE PROBLEMS

1. **Describe the problem in writing and orally.** State the problem and suggest ways the principal can solve it. A documentation form lets you state your observations and recommended correction. See the following "Sample Documentation Form."
2. **Keep a log of principal performance.** A logbook can be used to informally document conversations or meetings with the principal and to track problems.
3. **Keep a documentation file in your office.** This file includes any paperwork that shows how a principal performs his duties, such as late or poorly prepared reports, complaints from parents or faculty about poorly handled incidents, etc.

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Sample Documentation Form

Instructions: Complete the form below to document a problem or incident. Review this with the principal involved, sign it, provide a copy to the principal, and retain the original for your files.

1. Describe the problem or incident, including time, place, and names of people involved.

2. What plan of action will be taken to correct the problem? (List steps, resources needed, etc.)

Principal's signature (acknowledging review of this form) ____________ Date ____________

Superintendent's signature ____________ Date ____________

Principal's response:

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STEPS TO WRITE AND MONITOR AN ACTION PLAN

After the principal admits that he or she has a problem, your role is to provide the guidance to resolve it. This will most likely include working with the principal to write an action plan.

An action plan isn't the same thing as a personal growth goal. It involves far more participation by you. For example, it requires you to state the problem, list steps for improvement, offer support, and give regular feedback on progress.

For the action plan, you can do the following:

- **Write it together.** Once you have pinpointed the serious performance problem, sit down with the principal to decide what steps need to be taken to correct it. When writing the plan, include the following:
  - –a statement of area to be improved
  - –how the principal will correct the problem
  - –deadlines to show improvement
  - –resources or support staff to help the principal
  - –expected outcome
  - –method and date for final evaluation of the action plan

For the follow-up, you can do the following:

- **Provide support and guidance.** Once you have written an action plan for a principal, you need to guide him or her to its successful completion. Below are some monitoring strategies:
  - –Assign a team to work with the principal, and report to you on progress.
  - –Show the principal documentation.
  - –Reassure the principal that you are trying to help.
  - –Show concern for the person.
  - –Listen to principal's frustrations.
  - –Monitor progress on the action plan.
  - –Schedule frequent meetings.
  - –Communicate by memo.
  - –Evaluate the principal after the plan is completed.

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Action Plan Form

Instructions: Complete this form stating the concern, strategies, timelines, and evaluation of the plan. This form should address specific deficiencies that require improvement.

Note: Completion of this action plan is required by the date(s) specified below.

A. State the area of concern.

B. State the correction necessary. Briefly describe strategies and resources needed.

C. List steps to complete this action plan. Include a completion date for each step.

Action	To be completed by
1. ______________________________	1. ____________________
2. ______________________________	2. ____________________
3. ______________________________	3. ____________________
4. ______________________________	4. ____________________

D. What evidence will show that this concern has been effectively addressed?

E. Progress on this action plan will be reviewed by the superintendent by the following dates:

______________________________ ____________________
Principal's signature Date

______________________________ ____________________
Superintendent's signature Date

Source: Copyright © 2002, Aspen Publishers, Inc.

DEVELOPING A REMEDIATION PLAN

An essential belief underlying an effective evaluation system is that individuals can and will improve their performance with notification and assistance. The remediation plan is the vehicle through which licensed staff members are guided in improving their performance. A remediation plan is required for licensed staff members who have an unsatisfactory performance evaluation or "Does Not Meet One or More District Standards." Implementation of the remediation plan does not prohibit the District from re-assigning an administrator to a different position or from dismissing or disciplining an employee as otherwise provided by Board of Education policies and/or applicable state statutes.

GUIDELINES FOR REMEDIATION PLANS

- The remediation plan is based on deficiencies identified in the evaluation and related to the Administrator Performance Standards.
- The remediation plan is in writing and is attached to an Administrator Remediation Plan cover sheet (see "Sample Administrator Remediation Plan Template.")
- The Employee Relations Department and the supervisor of the evaluator should be notified when any administrator is being placed on remediation. No more than one calendar year shall be allowed for remediation.

SUGGESTED STEPS FOLLOWING THE DEVELOPMENT OF A REMEDIATION PLAN

A. The administrator shall be given 45 working days to improve performance under the remediation plan.

B. At the end of the 45 days, the evaluator shall re-evaluate the administrator's performance and take one of the following actions:
   - Notify the administrator that he or she has completed remediation and has earned a "Meets All District Standards" rating. A copy of this additional evaluation shall be included in the central personnel file.
   - Recommend an additional 45 days for continued improvement. The plan may be maintained or modified at that point.
   - Notify the administrator that he or she has completed remediation and has been evaluated as unsatisfactory and is recommended for dismissal or change in position.

Courtesy of Jefferson County Public Schools, Golden, Colorado.

Checklist for Working with Performance Problems

Action	Comments	Date(s)
1. Pre-evaluation Conference		
2. Notification of the Employee Relations Department and of the supervisor of the evaluator about the performance issues		
3. Direct observations		
4. Data collected		
5. Data sources identified		
6. Progress conferences to identify performance problems followed by written memos signed by both the administrator and evaluator		
7. Assistance provided		
8. Evaluation completed		
9. Remediation plan completed		
10. Review conference for the remediation plan		
11. Decision about next steps		

Courtesy of Jefferson County Public Schools, Golden, Colorado.

Sample Administrator Remediation Plan Template

The remediation plan should identify specific areas where the administrator's performance does not meet the minimum district performance standards and specify behaviors and results that the administrator must demonstrate to meet district standards and that can be used to determine whether performance meets those standards after the implementation of the remediation plan.

The ultimate responsibility for improvement lies with the administrator, not the evaluator. Successful completion of the plan is contingent upon meeting targeted behaviors or meeting identified indicators, not merely completion of improvement activities.

Administrator's name: ______________________________

Assignment and title: ______________________________

Evaluator: ______________________________

Date plan initiated: ______________________________

Dates of progress review: ______________________________

The remediation plan must be attached to this form and contain the following sections:

- Performance criteria and standards identified as deficient by evaluator
- Plan of action for addressing each deficiency including necessary resources and timelines for improvement
- Specific results and behavior changes that will be evident upon completion of the remediation plan and will indicate that the administrator now meets the performance criteria and standards

Failure to successfully correct the identified deficiencies within the remediation period may result in the evaluator recommending dismissal:

Administrator's Signature: ______________________________

Evaluator's Signature: ______________________________

Date: ______________________________

Results:

Plan has been completed (circle one):

successfully unsuccessfully

Evaluator's Signature: ______________________________

Date: ______________________________

Next Steps:

Courtesy of Jefferson County Public Schools, Golden, Colorado.

APPRAISAL/APPEAL PROCEDURES

Free, easy, and effective communication between an administrator and his or her appraiser and the Executive Committee is a mutually important objective. The purpose of this Appeal Procedure is to secure, in good faith, equitable solutions to the problems that may arise from time to time.

When problems arise, good morale is maintained by sincere efforts of all persons concerned working together toward constructive solutions in an atmosphere of courtesy and cooperation.

PROCEDURES

A. The appraisee has the right of appeal to the Executive Committee if, after careful study and discussion, there should be a lack of agreement between the administrator and his or her appraiser concerning any one or more of the following.
  - selection and writing of the plan of action
  - plan of action performance
  - job description performance

B. Appeals shall be made in writing within a two-week period following a disagreement.

Source: Jerry D. Will, Associate Professor and Chair, Emporia State University, Emporia, Kansas.

Local Evaluation Appeals Form

A. Evaluation being appealed is:

1. _______ Formative   2. _______ Summative

_______ Copy of post-observation conference form is attached.

B. Reason for the appeal: (attach pages as needed)

C. Type of appeal:

1. _______ For appeal of formative evaluation, submit this form to Program Coordinator, c/o the evaluator.
2. _______ For second appeal of formative evaluation, submit this form to the Appeals Panel, c/o the Superintendent.
3. _______ For appeal of summative evaluation, submit this form to the Appeals Panel c/o the Superintendent.

NOTE: Evaluation records may be presented to and reviewed by the local evaluation appeals panel.

_______________________________ Signature of Appellant

_______________________________ Date Appeal Is Filed

Courtesy of Boyle County School District, Danville, Kentucky.

Chapter 5

Legal Issues

Staff Discipline 5:1

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- Requirements of an Official Written Memo, Warning, or Reprimand 5:5
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Chapter 5

Legal Issues

STAFF DISCIPLINE

PROGRESSIVE DISCIPLINE PROCEDURES

A. Except as otherwise provided by this Agreement, demotion, suspension, dismissal, and non-renewal actions taken against administrators covered by this Agreement shall comply with all provisions of NRS Chapter 391 as amended through the State Legislature. It is understood that all references to NRS Chapter 391 throughout this Article imply the current Chapter 391 and any future amendments by the State Legislature.

B. The parties to this Agreement recognize and subscribe to the philosophy of progressive discipline. Progressive discipline is an effective, reasonable system of disciplinary action that is founded on the premise that disciplinary actions are, where possible, to be corrective rather than punitive; that generally disciplinary actions are to be progressively more severe; and that the disciplinary actions imposed and their progression fit the nature of the specific circumstances.

C. Demotion, suspension, dismissal, and non-renewal actions taken against administrators in accordance with NRS 391 shall be appropriate to the specific failure to act of the individual administrator, shall be progressive in nature, and reasonably related to the nature of the problem.

D. Except for incidents of a serious nature as defined in this Article, progressive discipline action shall generally follow the pattern of:

1. First, oral warning:
   - a) The supervisor must verbally communicate the deficiencies to the administrator regarding his or her performance or behavior.
   - b) The supervisor must discuss the deficiencies in which improvement is required.
   - c) An oral warning may be memorialized in writing in an oral warning conference summary.
   - d) If an oral warning conference summary is developed, a written acknowledgment of receipt of the oral warning conference summary must be obtained. The administrator is required to sign the oral warn-

continues

Progressive Discipline Procedures continued

ing conference summary as an acknowledgment of receipt, but the signature does not necessarily indicate agreement with its content.

2. Second, written warning:
   - a) The supervisor must, in writing, communicate the deficiencies to the administrator regarding his or her performance or behavior that must be changed/improved.
   - b) The supervisor must, in writing, describe the deficiencies in which change/improvement is required and establish directions designed to lead to the required change/improvement.
   - c) The supervisor must, in writing, inform the employee that failure to improve may result in an admonishment and/or suspension, demotion, or dismissal.
   - d) A written acknowledgment of receipt of the written warning must be obtained. The administrator is required to sign the written warning as an acknowledgment of receipt, but the signature does not necessarily indicate agreement with its content.
3. Third, admonition or admonition/suspension:
   - a) An admonition must be provided to an administrator as a separate document or in conjunction with a suspension. However, no administrator shall be suspended without previously having received an admonishment except as provided for in NRS 391.313 and NRS 391.314.
   - b) The supervisor must, in the written admonition, comply with the requirements of NRS 391.313 and notify the administrator that improvement is required and that continuation or repetition of the deficiencies as stated in the document may result in suspension, demotion, dismissal, or a recommendation not to reemploy.
   - c) The supervisor may issue an admonition only after an investigation, if needed, has been made. An admonishment may be utilized as the first step of progressive discipline when the administrator's actions meet the criteria for an incident of a serious nature as provided for in this Article.
   - d) A written acknowledgment of the receipt of the admonishment must be obtained. The administrator is required to sign the admonishment as an acknowledgment of receipt but the signature does not necessarily indicate agreement with its content.
   - e) Suspension is used to temporarily remove an administrator from duties. An administrator may be suspended more than once during the administrator's contract year, but the total number of days of suspension may not exceed 20 in one contract year as provided in NRS 391.314.

     It is recognized by both the Association and the District that administrators are considered exempt employees under the Fair Labor Standards Act. As exempt employees administrators shall not be suspended with loss of pay for less than five days. Suspensions without loss of pay may be issued for any period as long as the 20-day maximum is not exceeded. Annual leave, personal leave, or compensatory leave may be reduced when suspensions without loss of pay of less than five days are issued. The reduction will be one day of leave for one day of suspension without loss of pay.
   - f) Except as provided in NRS 391.313 and NRS 391.314, the supervisor must issue an admonition and a written notice of suspension identifying the action of the administrator leading to the suspension. The notice of suspension will be signed by the administrator and the superintendent or the superintendent's designee.
   - g) Except as provided in NRS 391.314, a suspension will not be effective until after a disciplinary hearing has been conducted. The administrator or the Association must request the hearing within ten (10) days of receipt of the notice of suspen-

continues

Progressive Discipline Procedures continued

sion. The District must hold the hearing within seven (7) days of receipt of the request for the hearing. It is agreed that timelines may be waived if agreed to in writing. The administrator may waive the hearing.

4. Fourth, demotion, non-renewal or dismissal:
   a) A demotion is the removal of an administrator from his or her present position to one of lesser rank, responsibility, or pay. An administrator who is demoted must be assigned to a position in which he or she meets the minimum qualifications.
   b) The superintendent shall give written notice of recommendation of demotion to the administrator as provided in NRS 391.317. The notice of recommendation of demotion will be signed by the administrator and the superintendent or the superintendent's designee.
   c) An administrator who has been given notice of recommendation of demotion is entitled to a hearing before a hearing officer. The administrator or the Association must request the hearing as provided in Article 4-16 of this Agreement. The administrator or the Association must request the hearing within ten (10) days of receipt of the notice of recommendation of demotion. The District must hold the hearing within seven (7) days of receipt of the request for the hearing. It is agreed that timelines may be waived if agreed to in writing. The administrator may waive the hearing.
   d) A notice of intent not to reemploy shall be used for a probationary administrator who is rated as not satisfactory and who will not be reemployed at the conclusion of the probationary period. The notice must include a statement of the reasons for non-reemployment.
   e) Dismissal is used to permanently remove an administrator from employment as an administrator with the District.
   f) Before dismissal, the probationary administrator shall receive all notices as provided in NRS 391.3125, NRS 391.313, and NRS 391.3197 and is entitled to a hearing before a hearing officer as set out in NRS 391.311 to 391.3196, inclusive, or as provided in Article 4-16 of this Agreement. The administrator or the Association must request the hearing provided in Article 4-16. The administrator or the Association must request the hearing within ten (10) days of receipt of the notice of recommendation of dismissal. The District must hold the hearing within seven (7) days of receipt of the request for the hearing. It is agreed that timelines may be waived if agreed to in writing. The administrator may waive the hearing.
   g) If the superintendent believes that cause exists for the dismissal of an administrator and is of the opinion that the immediate suspension of the administrator is necessary in the best interests of the pupils in the District, the superintendent may suspend the administrator without notice and without a hearing as provided in NRS 391.314. The superintendent must provide the administrator with a notice of suspension as described in Article 27-4-3. Within five days after the suspension becomes effective, the superintendent shall begin proceedings pursuant to NRS 391.312 to 391.3196, inclusive, to effect the administrator's dismissal.
   h) The superintendent shall give written notice of recommendation of dismissal to the administrator as provided in NRS 391.317. The notice of recommendation of dismissal will be signed by the administrator and the superintendent or the superintendent's designee.
   i) At least 15 days before recommending to the Board that it demote, dismiss, or not reemploy a postprobationary administrator, or dismiss or demote a probationary administrator, the superintendent shall give written notice to the administrator, by registered or certified mail, of his

continues

Progressive Discipline Procedures continued

intention to make the recommendation. The notice must:

- Inform the administrator of the grounds for the recommendation.
- Inform the administrator that if a written request is directed to the superintendent as provided in Article 4-16 of this Agreement, the administrator is entitled to a hearing before a hearing officer set out in NRS 391.311 to 391.3194 inclusive. The administrator or the Association must request the hearing provided in Article 4-16. The administrator or the Association must request the hearing within ten (10) days of receipt of the notice of recommendation of dismissal. The District must hold the hearing within seven (7) days of receipt of the request for hearing. It is agreed that timelines may be waived if agreed to in writing. The administrator may waive the hearing.
- Refer to Chapter 391 of NRS.

j) Disputes regarding demotion or dismissal that are processed through the grievance and arbitration procedure of this Agreement shall become effective on the date of the arbitrator's decision.

E. No incident or observation may result in an oral warning conference summary, written warning, unsatisfactory written evaluation, directions for change, or written admonition unless the incident or observation is called to the attention of the administrator in writing by the supervising administrator(s) within twenty (20) school days after the observation or the incident was brought to the attention of the supervising administrator or within twenty (20) school days that the administrator receiving the document is required by contract to be on the job. A written acknowledgment of receipt of any writing must be obtained. The administrator is required to sign the writing as an acknowledgment of receipt, but the signature does not necessarily indicate agreement with its contents. If the administrator receiving the document is absent and not available during the twenty (20) school days, the twenty (20) school days shall be extended by the number of days that the administrator is absent. The twenty (20) school day rule shall apply and the days will not be extended for administrators who are suspended.

F. Except for incidents of a serious nature, no incident or observation may result in a written oral warning conference summary, written warning, unsatisfactory written evaluation direction for change, or written admonition nor be placed in the administrator's personnel file unless it has been brought to the administrator's attention in writing by the supervising administrator(s) within six (6) months of the date of the incident or observation. Incidents of a serious nature as defined in this Article are not subject to the six (6) months limitation of this sub-section but are subject to the twenty (20) school days notice provision of Article 27-5.

G. Incident of a serious nature means any incident when an administrator covered by this Agreement is: accused of immorality, dishonesty, unprofessional conduct that could lead to an admonition, suspension, demotion, nonrenewal, dismissal [termination], or any combination thereof, or conduct that constitutes a felony or a crime involving moral turpitude whether or not yet convicted.

H. A conference summary or personnel notification shall be sufficient to call to the attention of the administrator the incident or observation that may lead to discipline if the conference summary or personnel notification reasonably describes or refers to the incident or observation and identifies why the administrator is being considered for potential disciplinary action. The conference summary or personnel notification must be used if an oral warning conference summary, written warning, written admonition, unsatisfactory written evaluation, or direction for change is to be

continues

Progressive Discipline Procedures continued

developed. The conference summary or personnel notification must be physically handed to the administrator, forwarded by certified or registered mail or, at the request of the administrator, faxed, and the administrator must acknowledge receipt by signing for the conference summary or personnel notification. This signature does not necessarily indicate agreement with its contents.

Courtesy of Clark County School District, Las Vegas, Nevada.

REQUIREMENTS OF AN OFFICIAL WRITTEN MEMO, WARNING, OR REPRIMAND

A. Reprimands must be individually written stating the purpose of the discipline and/or documentation, warning, reprimand, etc.

B. The written document must include the stated problem and material facts such as date, time, place, witnesses to and actions of the individual(s) involved.

C. The document
  - must include a quotation of the rule or regulation violated or breached, violation of customary practice or policy, or the misconduct if not in the written rules
  - should list all previous oral/written warnings within the current school year or immediate past year
  - must be explicit and to the point (Refrain from personal feelings, opinions, and judgments.)
  - should state the staff member is being given another opportunity to improve
  - should state consequences of repeated misconduct (remain flexible by not stating what the exact further action will be, unless Board policy specifically dictates)
  - should contain a place for the employee to sign and date that the document was reviewed with employee and he or she understands said content
  - should state that the staff member was given a copy of this letter; do not mail it
  - should indicate that a copy of the document will be placed in the building and district personnel file.

D. Forward a copy of the letter to the central administration office to be included in the employee's official personnel file.

Source: Jerry D. Will, "Positive Legal Employee Discipline," National Association of Secondary School Principals 85th Annual Convention and Exposition, Phoenix, Arizona, 2001.

CRITERIA FOR DETERMINING "JUST CAUSE"

- Was the employee adequately warned of the consequences for his or her conduct? Was adequate documentation made of these actions?
- Was the district's policy, rule, or order reasonable?
- Was the employee aware of the district's policy or rule, and was it explained to the employee?
- Was an investigation completed prior to administering the discipline? If so, describe the process.
- Was the investigation fair and objective? How can you prove it?
- Is there substantial evidence or proof of guilt? If so, what?
- Were the rules, orders, and penalties applied evenhandedly and without discrimination to all staff members throughout the year in this and earlier situations?
- Was the measure of discipline reasonably related to the seriousness of the infraction and the past record? Describe.

Source: Jerry D. Will, "Positive Legal Employee Discipline," National Association of Secondary School Principals 85th Annual Convention and Exposition, Phoenix, Arizona, 2001.

TERMINATION AND DUE PROCESS

REQUESTING PRINCIPAL REMOVAL "FOR CAUSE": SUGGESTED GUIDELINES

Principals are usually entitled to serve out the full term of their contract. However, in rare cases of serious performance failings or misconduct, they may be removed "for cause."

Changes in the School Reform Act give local school councils (LSCs) the power to *begin* the process of removing a principal "for cause." The facts of the specific case will determine whether there is "cause" for dismissal. "Cause" may involve repeated failure to follow the contract or implement the school improvement plan. The next pages of these guidelines provide further information on "cause." A volunteer lawyer can advise an LSC directly whether "cause" may exist at its school.

Unlike nonrenewal of a principal's contract, "for cause" dismissal is strictly controlled by State law. To remove a principal, an LSC needs substantial reasons. The LSC must be willing to devote the necessary time to build its case. Before beginning the "for cause" dismissal process, an LSC should *be sure*

- that the LSC has done its job of evaluating the principal at least once a year
- that there are serious problems with the principal's performance; that the LSC has clearly communicated its concerns to the principal; and that the principal has been given a chance to respond and improve his or her performance
- that the LSC has evidence to support its position (in writing if possible)
- that the LSC has obtained legal advice (The Lawyers' School Reform Advisory Project is available to help.)

The law sets forth the following basic four steps for removal:

1. The LSC votes to direct the General Superintendent to start removal proceedings. Seven LSC members must vote "Yes" for the motion to pass. The LSC then needs to inform the General Superintendent of this request. The notice should identify the alleged shortcomings of the principal, a list of persons with knowledge of the allegations, and written evidence that tends to support the LSC's position.
2. Within 45 days after this request for removal, the General Superintendent must investigate and act. He must do one of two things: a) he may decide not to continue removal proceedings (if so he must explain why, in writing, to the LSC); or b) he may decide to proceed, and present a motion to the Board of Education, on behalf of the LSC, to discharge the principal.
3. If presented with the motion, the Board of Education then votes on removal; a majority of the full membership must approve the motion for it to pass. The Board may also vote to suspend the principal until the matter is settled.
4. The principal may request a hearing after the Board's action. If he or she does, the State Board of Education does a full investigation, a trial-like hearing.

"For cause" removal proceedings should not be undertaken lightly. It takes a lot of work and commitment by the LSC. If the case against your principal is weak or even unfair, you may hurt your school. In some cases, however, removing the principal may be a healthy and necessary step. Call Lawyers' School Reform Advisory Project if you need help.

GUIDELINES ON PRINCIPAL REMOVAL FOR CAUSE

Below a general summary of the kinds of performance failures by a principal that may be serious enough to constitute cause for dismissal.

After reviewing the summary, the LSC should make a list of: a) every *material* performance failure of the principal that either falls under a category listed here or constitutes a violation of *law* or his or her principal contract, b) the respective dates of each incident, c) the people, if any, who were involved and 4) any other specific information that is pertinent.

It is essential that each incident be *documented*, either by written material or the signed statement of an individual (preferably a statement given under oath and witnessed/notarized by a notary official). Without supporting documentation or evi-

continues

Requesting Principal Removal "For Cause": Suggested Guidelines continued

dence, a claim against the principal has no legal merit.

Moreover, we emphasize that: (a) termination proceedings are very serious and very difficult and (b) a principal has broad discretion (authority to make decisions) in performing his or her administrative duties. Therefore, the LSC should ensure that all claims it makes against the principal are serious performance breaches, and not only differences of opinion between the LSC and the principal.

In addition, the LSC must maintain a professional relationship with its principal throughout this process, because it is possible that he or she will *not* be terminated. In that event, the LSC will have to continue to work with the principal. The children who attend the school would suffer during that period if there is constant conflict between the LSC and the principal. Hence, in the children's interest, the LSC should make every effort to maintain as positive a relationship as possible with the principal.

SUMMARY OF PERFORMANCE FAILURES

Safety of the Children

- Failure to establish and enforce emergency procedures, such as fire drills
- Unsanitary conditions
  - failure to maintain the cleanliness of bathrooms, classrooms, cafeterias, hallways or other areas
  - failure to keep bathrooms stocked with adequate supplies (paper towels, toilet tissue, etc.)
  - failure to provide periodic and necessary health checks, such as for lice, rashes, contagious illnesses, etc.
- Supervision
  - failure to supervise children in the parking lot and playground, before and after school
  - failure to supervise children within the school itself
  - failure to provide adequate discipline in the event of fights or other disruptions
- Emergency health procedures
  - failure to notify parents in emergency situations
  - failure to accompany or have another adult accompany a child in emergency situations

CONTRACTUAL OBLIGATIONS

- Failure to perform duties, such as:
  A. Budget/Financial organization and maintenance
  B. School Improvement Plan (SIP)
    - failure to implement specific provisions of SIP
    - failure to consult with LSC, staff, parents and community with regard to implementation
  C. Expenditure of funds
    - failure to obtain prior LSC approval
    - failure to document expenditures
  D. Duties as LSC member
    - failure to attend meetings, cooperate, etc.
    - failure to provide accurate information pursuant to LSC requests
  E. Duties to the LSC
    - failure to cooperate
    - failure to implement council resolutions
    - failure to undertake and/or participate in school evaluations, including curriculum and test score evaluations
    - failure to undertake budget evaluations
  F. Fostering negative community relations

RACIAL AND SEXUAL HARASSMENT

This would include making comments, gestures, jokes, hiring decisions, or engaging in other behavior or practices that are offensive to students, staff, and the administration with regard to race, gender, religion, or other arbitrary characteristics.

Source: "Requesting Principal Removal 'For Cause': Suggested Guidelines," Lawyers' School Reform Advisory Project, Chicago Lawyers' Committee For Civil Rights Under Law, copyright © 1992.

Resolution Authorizing Notice of Dismissal to Assistant Principal

BE IT RESOLVED by the Board of Education of ____,
________________________________, as follows:

1. That this Board of Education hereby determines that the person listed on *Exhibit 1*, attached hereto and made a part hereof, will not be re-employed for the following school term and is hereby dismissed as an assistant principal and teacher in this School District effective at the end of the present school term.
2. That the President and Secretary of this Board of Education are hereby authorized and directed to give to the person listed on *Exhibit 1*, by certified mail, return receipt requested, a written notice of this Board's decision to dismiss him at the end of the present school term, which notice shall be substantially in the form of *Exhibit 2* (see Dismissal Notice), attached hereto and made a part hereof.
3. That this Resolution shall be in full force and effect upon its adoption.

ADOPTED this ______ day of _______________, 2001, by a roll call vote, as follows:

YES: ____

NO: ____

ABSENT: ____

____
President, Board of Education

Attest:

____
Secretary, Board of Education

Courtesy of North Chicago Community Unit School District 187, North Chicago, Illinois.

DISMISSAL NOTICE

Date

Certified Mail
Return Receipt Requested

Name
Address

Dear ____________________:

You are hereby notified that you are dismissed as an assistant principal and teacher in this School District effective at the end of the present __________ school term and, therefore, you will not be re-employed for the next school term.

Very truly yours,

BOARD OF EDUCATION
SCHOOL DISTRICT #
City, State

By:____
President, Board of Education

Attest:

____
Secretary, Board of Education

Courtesy of North Chicago Community Unit School District 187, North Chicago, Illinois.

NEGLIGENT HIRING

GIVING REFERENCES AND DEFAMATION OF CHARACTER

INTRODUCTION

Defamation of character is an attack on someone's reputation through false or malicious statements. The tort of defamation encompasses both **slander**—making false or malicious statements orally—and **libel**, which means making such statements in writing. Writing includes printing, pictures, signs, and even effigies. In the workplace, defamation is a false and injurious statement about a worker or former worker that is communicated to a third party.

Employers incur the risk of defamation when they communicate information about current or past employees and the information is damaging to the individual's character and reputation. If the individual believes that the defamatory statements are false, he or she may decide to file suit.

Negative job references have become an expanding source of defamation suits. Many employers seek to protect themselves by giving no information beyond employment dates and promotion and salary record. However, employers should note that a policy of giving very limited references could result in liability for negligent referral. This could happen if a former employee with a history of violent and abusive behavior commits a crime while working for a subsequent employer. In view of this possibility, you might want to amend a reference policy to cover instances in which you will divulge unfavorable information in order to protect your company's reputation or save a third party from harm. This is especially important in light of a case in which an employer failed to warn a future employer about the possibility that a past employee was capable of harmful actions in the workplace.

CASE IN POINT

A school administrator received a glowing recommendation from his past employer and was hired in a new school district. The problem was that the administrator had been the subject of complaints at his past employer. He had been charged with sexual misconduct with several junior high school students.

When a student at the new school complained that the administrator had sexually molested her, the administrator's questionable past came to the surface. The student's family claimed that the previous employer had been negligent when it gave only positive information about the administrator and failed to reveal the negative aspects of his performance. The family claimed that "the recommendation letter amounts to an affirmative misrepresentation presenting a foreseeable and substantial risk of physical harm to a prospective employer or a third person."

The past employer said it had no duty to communicate information about the administrator.

The court disagreed with the past employer. It said the past employer could have reasonably foreseen that the representations and omissions in its reference letters would result in physical injury to someone. The court said that in order to avoid potential liability, the past employer had two choices when it provided the reference:

1. Writing a "full disclosure" letter, revealing all relevant facts regarding the administrator's background.
2. Writing a "no comment" letter, omitting any affirmative representations of the administrator's qualifications or merely verifying basic employment dates and details.

The court acknowledged the fear employers have of defamation suits. However, it said that employers are protected when they communicate with "interested" persons and the information shared is "based upon credible evidence, made without malice, by a current or former employer of the applicant, to and upon request of the prospective employer." The court said this protection should be enough for employers who wished to give more than just basic employment facts [*Randi W. V. Muroc Joint Unified School District*, 929 P.2d 582 (Calif. Sup. Ct. 1997)].

continues

Giving References and Defamation of Character continued

FURTHER DISCUSSION

When faced with a past employee who has done some harm while in your employ—whether it be physical injury to a coworker or a customer, threatening behavior, embezzlement, or any other damage—it can be difficult to know what to do when you receive a request for a recommendation. Of course, the safest path—as pointed out by this court—is to give just the base essentials (dates of employ and position held). However, it may not feel morally correct to give such a bare-bones assessment in this particular type of case.

Certainly, if there was a problem with a former employee, you should not give him or her a glowing recommendation. This would certainly be seen as misleading.

However, if you're truly concerned that this person could cause harm in another workplace, talk to your legal advisor—perhaps as early as the day the employee leaves your company. Having a plan in place for dealing with the situation will make it easier if you are asked to give this person a recommendation.

Source: *The Practical Guide to Employment Law,* © 2001 Panel Publishers, a division of Aspen Publishers.

HOW TO OBTAIN QUALITY REFERENCES

Checking references poses a real catch-22 for employers: If they don't check references thoroughly, they risk being charged later on with negligence; yet fear of defamation lawsuits has made many employers reluctant to divulge anything beyond a former employee's job title and dates of employment. Obviously, when you're seeking a reference, you're in a very different position than when you're being asked to provide one.

Here are some guidelines to follow when checking references:

- **Have all prospective employees sign a release form** permitting you to contact former employers, schools, and any references listed on the application.
- **Ask for all names used by an applicant.** "Charles B. Smith" may have been previously employed under the name "C. Bryan Smith." A married woman may have been previously employed under her maiden name.
- **If possible, obtain references in person.** Some companies have a policy of responding only to reference requests by mail. But not everyone has such a policy, and a great deal of information can be gleaned in face-to-face meetings. Facial expressions and body language often contradict what a former employer has to say about a person.
- **Check other references by telephone.** Speaking with an applicant's former employer is more likely to yield useful information than a written inquiry. Ask to speak to the individual's supervisor or immediate boss.
- **Keep notes of conversations with references.** It's a good idea to have a written form to refer to so that responses can be jotted down while they are fresh in your mind. Here are some of the questions that might be covered on this form:
  - –What were the dates of employment?
  - –For what job was the individual hired? Did his or her responsibility change during the period of employment? If so, why?
  - –How would you evaluate this person's performance?
  - –Did he or she have a good attendance record?
  - –Why did the employee leave your company?
  - –Did he or she require close supervision?
  - –How well did he or she get along with coworkers? with supervisors? Were there any conflicts?
  - –Would you reemploy him or her? If not, why?
  - –Would you please verify his or her earnings at the time of hiring and at termination (or at present)?
- **Politely insist.** If your contact says that it's against company policy to give references, emphasize your need for information right away so that the applicant can be given fair consider-

continues

How To Obtain Quality References continued

ation for the job. You may also want to mention the fact that if you don't receive the necessary information, the applicant might be excluded from the next step in the selection process. If that fails, ask to speak to someone at the next higher level of management to see if an exception might be made in this instance. Some states have job reference immunity laws that allow employers to speak truthfully about an employee's past performance without fear of lawsuits. Other states limit an employer's ability to give references. Check the laws in your state to see how much information you can expect to receive from a past employer.

- **Evaluate negative references fairly.** Remember that an unfavorable response from one employer doesn't necessarily mean that the applicant should be rejected. Failure in one type of job doesn't necessarily indicate failure in another assignment. Nor are personality clashes—a frequent reason for a poor reference—always an indication that the person is difficult to work with. This is why it is so important to pursue more than one employment reference.

If an applicant is presently employed and doesn't want to jeopardize his or her current position by permitting a reference check, you have two choices. You can abide by the person's wishes and evaluate his or her qualifications based on the information you have. Or, if the current job is the most relevant or the only significant employment the applicant has had to date, you can make the job offer contingent upon receiving a satisfactory reference from the current employer. If it isn't satisfactory, you have the right to withdraw the offer.

Source: *The Practical Guide to Employment Law,* © 2001 Panel Publishers, a division of Aspen Publishers.

Sample Employment Reference Form

TO BE COMPLETED BY APPLICANT

Applicant Name______________________________________S.S. #_____/____/______

Last First M.

Previous Name(s) (Maiden) ____

Name of previous supervisor ____

Company Name________________________________ Phone__________________

I have applied with the School District of __________ County, __________ for the following position(s):

____

I authorize you to provide the School District of __________ County with information regarding my suitability for employment. I further release and hold harmless my former employer from any action or liability for any information provided or statement made in good faith.

______________________________/__________

Applicant Signature Date

TO BE COMPLETED BY REFERENCE

1. How long have you known the applicant? ______________________________
2. In what capacity have you known the applicant? ________________________
   ☐ Personal ☐ Coworker ☐ Subordinate ☐ Other ____________________
3. What was the applicant's position? ________________________________
4. Describe the duties of the applicant _______________________________
   ____
5. What were the dates of employment? From________________ To________________
   Month/Day/Year Month/Day/Year
6. What was the applicant's reason for leaving? ____________________________
   ____
7. Did the applicant receive any disciplinary action or reprimand? ☐ Yes ☐ No ☐ Not Known
8. Was the applicant asked to resign? ☐ Yes ☐ No ☐ Not Known
9. Did the applicant pass a probationary period? ☐ Yes ☐ No ☐ Not Known
10. Was the applicant's certificate/contract suspended, revoked, or non-renewed? ☐ Yes ☐ No ☐ Not Known
    Reason (if known) ____
11. If a vacancy existed in your school/business for which the applicant was qualified, would you recommend him or her for employment? ☐ Yes ☐ No
    If no, please explain ____

Note: This form will not be shown to the applicant or other member of the public unless specifically requested, in compliance with FS 119, Public Records Law.

An Equal Opportunity Agency

continues

Sample Employment Reference Form continued

Instructions: Please consider this applicant in relation to the qualities listed below. Indicate your rating by checking (✓) the appropriate box.

5 = Extremely competent/professional 4 = Very competent/professional 3 = Competent/professional
2 = Less than competent 1 = Much less than competent 0 = Not observed/unknown

TEACHER DIMENSIONS (Complete for teacher applicants only)	5	4	3	2	1	0
A. Planning (content, coverage, utilization of instructional materials, activity source, and goal focusing)						
B. Management of Student Conduct (rule explication and monitoring, overlapping, quality of desist, group alert, movement smoothness, movement slowdown, and praise)						
C. Instructional Organization and Development (efficient use of time, review of subject, lesson development, teacher feedback, and management of seatwork/homework)						
D. Presentation of Matter (presentation of conceptional knowledge, explanatory knowledge, academic rule knowledge, and presentation of value knowledge)						
E. *Verbal and Nonverbal Communication* (control of discourse, emphasis task attraction and challenge, speech, and body language)						
F. Testing (preparation for testing, test administration, and formative feedback)						
PROFESSIONAL/PERSONAL QUALITIES (Complete for all applicants)						
A. Quality of work/work habits						
B. Ability to work with others						
C. Ability to learn						
D. Dependability/attendance						
E. Attitude						
F. Judgment/common sense						
G. Initiative						
H. Health/emotional stability						
I. Personality						
J. Personal appearance						

Print Name______________________________/____________________/__________
Person providing reference Signature Date

School/Agency Name ____

____
Street City State Zip

Position____________________ Phone number for reference verification (___) __________

An Equal Opportunity Agency

Courtesy of the School District of Osceola County, Kissimmee, Florida.

Affidavit of Good Moral Character

Before me this day personally appeared ______________________, who, being duly sworn, deposed, and said: "As an applicant for employment in a position of trust with ______________ County Schools, I hereby attest to meeting the requirements for employment, that I am of good moral character, that I have not been found guilty of, regardless of adjudication, or entered a plea of nolo contendere or guilty to any felony, prohibited under any of the following provisions of State Statutes or under similar statutes of other jurisdictions, or having had a finding of delinquency or entered a plea of nolo contendere or plea amounting to an admission of guilt to a petition alleging delinquency pursuant to Part II, Chapter 39, State Statutes, or similar statutes of other jurisdictions, for any of the following acts, regardless of adjudication or disposition and regardless of whether or not those records have been sealed or expunged."

Section/ Chapter	Number	Offense
Sec.	782.04	murder
	782.07	manslaughter
	782.071	vehicular homicide
	782.09	killing of an unborn child by injury to the mother
	784.011	assault, if the victim of the offense was a minor
	784.021	aggravated assault
	784.03	battery, if the victim of the offense was a minor
	784.045	aggravated battery
	787.01	kidnapping
	787.02	false imprisonment
	787.04	moving children from the state or concealing children contrary to court order
	794.011	sexual battery
Chap	796	prostitution
Sec.	798.02	lewd and lascivious behavior
Chap	800	lewdness; indecent exposure

Section/ Chapter	Number	Offense
Sec.	806.01	arson
	812.13	robbery
Sec.	826.04	incest
	827.03	aggravated child abuse
	827.04	child abuse
	827.05	negligent treatment of children
	827.071	sexual performance by a child
	415.111	abuse, neglect, or exploitation of aged or disabled adults
Chap	847	obscene literature
Chap	893	drug abuse prevention and control if the offense was a felony or if any other person involved in the offense was a minor
Sec.	817.563	fraudulent sale of controlled substances if the offense was a felony
	39.01(2)	abuse against a child
	37	abuse against a child
Chap	415	confirmed report of abuse
Sec.	741.30	domestic violence

I further attest that I have not been judicially determined to have committed abuse against a child as defined in Section 39.01(2) and (37), State Statutes, or have a confirmed report of abuse as defined in Chapter 415, State Statutes, or to have committed an act that constitutes domestic violence as defined in Section 741.30, State Statutes. I further attest that there are no pending charges for any of the above referenced statutes.

continues

Affidavit of Good Moral Character continued

Under the penalties of perjury, I declare that I have read the foregoing, and the facts alleged are true to the best of my knowledge and belief.

____________	____________________________
Date	Affiant
	____________________________
	Social Security Number

OR

To the best of my knowledge and belief, my record may contain one of the foregoing disqualifying acts or offenses.

____________	____________________________
Date	Affiant
	____________________________
	Social Security Number

STATE OF __________ Subscribed and sworn to (or affirmed) before me this ______________
(Date)

COUNTY OF ________ by __________________, who is/are personally known to me or

has/have produced ______________________ as identification.
(Type of identification)

__________________ Notary Public, Commission No. ______
Signature

__________________ (Name of Notary typed, printed, or stamped)

Courtesy of Leon County Schools, Tallahassee, Florida.

Conviction Report (Administrative Certified Positions)

REQUIRED FOR ALL CATEGORIES OF APPLICANTS

The following information is needed regarding criminal convictions. A record of conviction does not prohibit employment; however, failure to complete this report accurately and completely shall result in disqualification from consideration for employment, or may be cause for dismissal, or result in prosecution for filing false information with a public agency. Applicants and employees must also report any convictions that occur subsequent to completing this report. Questions regarding this report may be directed to the Human Resources Department. Please read carefully, answer every question, and sign and date the bottom.

Social Security Number:		
Last Name:	First Name:	M.I.:
Other Name Used:	Date of Usage:	

1. Have you ever been convicted of a minor offense other than traffic violations? ☐ Yes ☐ No
2. Have you ever been convicted of a felony? ☐ Yes ☐ No
3. Have you ever been convicted of a drug-related offense? ☐ Yes ☐ No
4. Have you ever been convicted of a sex-related offense? ☐ Yes ☐ No
5. Have you ever been convicted of any of the following? ☐ Yes ☐ No
   a. sexual abuse of a minor
   b. incest
   c. first or second degree murder
   d. kidnapping
   e. arson
   f. sexual assault
   g. sexual exploitation of a minor
   h. felony offenses involving contributing to the delinquency of a minor
   i. commercial sexual exploitation of a minor
   j. felony offenses involving sale, distribution or transportation of, offer to sell, transport or distribute or conspire to sell, transport, or distribute marijuana, dangerous drugs, or narcotic drugs
   k. felony offenses involving the possession or use of marijuana, dangerous drugs, or narcotic drugs
   l. burglary
   m. aggravated or armed robbery
   n. robbery
   o. a dangerous crime against children as defined in ARS 13–604.01
   p. child abuse
   q. sexual conduct with a minor
   r. molestation of a child
   s. manslaughter
   t. assault or aggravated assault
   u. exploitation of minors involving drug offenses

continues

Conviction Report (Administrative Certified Positions) continued

If any of the above answers are marked "Yes," fill in the information below.	
Conviction Charge(s):	
Date of Conviction:	Court of Conviction
City/State:	Amount of Fine:
Length of Jail Term:	Length and Terms of Probation:
Comments:	

CONVICTION means a final judgment on a verdict or a finding of guilt, or a plea of nolo contendere (no contest), in any state or federal court of competent jurisdiction in a criminal case, regardless of whether an appeal is pending or could be taken. Conviction does NOT include a final judgment that has been expunged by pardon, reversed, set aside, or otherwise rendered invalid.

Under penalty of prosecution and dismissal, I hereby certify that the information presented on this application is true, accurate, and complete. I authorize the investigation of all statements contained herein and understand that the agents of the School District review any document relevant to this information. I authorize the School District to make reference checks and I will execute such documents to facilitate this investigation. I understand that my employment is not finalized until the background investigation has been completed. **I understand that misrepresentation or omission of pertinent facts may be cause for dismissal.**

THIS PAGE MUST BE SIGNED WITH ORIGINAL SIGNATURE AND DATE

Signature	Date

Courtesy of Tucson Unified School District, Tucson, Arizona.

Drug Screening and Investigations

Instructions: Please complete this form: Turn in at the same time as the application. After interviews and recommendations for employment, a background investigation and fingerprint clearance by the School District are mandatory prior to offer of actual employment.

Date:____________________ Customer No.________________

Name: ____

First Full Middle Last

Address:____________________ City:__________________ State:__________ ZIP: _____

Date of Birth: __________________ Social Security Number: ______________________

Driver's License:_____________________________ State: ________________________

Other Names Used (Maiden Name, AKAs): ____________________________________

MUST BE FILLED OUT

In order to be in compliance with the new state law, please list any city and state in which you have resided in the past five years.

City:________________________ State:__________
City:________________________ State:__________
City:________________________ State:__________

APPLICANT DISCLOSURE

Pursuant to the requirements of the Fair Credit Reporting Act, notice is given that a consumer report may be made in connection with your application for employment. The report may include information about your general reputation, personal characteristics, or mode of living.*

If you are denied employment, either wholly or partly, because of the information contained in this consumer report, a disclosure will be made to you of the name and address of the consumer reporting agency making such report. If the report contains information about you that is a matter of public record, such as arrests, indictments, or convictions, you may also be informed of the name and address of any persons to whom the information is reported.

I have read the above notice and understand what it means.

Applicant Signature:______________________________ Date: ________________________

*The Age Discrimination in Employment Act of 1967 prohibits discrimination on the basis of age with respect to individuals who are at least 40 years of age. This information is for consumer report purposes only.

May we contact your current employer? Yes _________ No _________

continues

Drug Screening and Investigations continued

Please do not write below this line.

Please check the appropriate numbers:

- ☐ NCIC/ACIC warrants and wants search
- ☐ 39-month driving record
- ☐ Verification of highest educational degree as specified
- ☐ Verification of a minimum of three personal references
- ☐ Verification of previous employment (last 5 years)
- ☐ Social security verification
- ☐ Felony search, out of state
- ☐ Professional licensure verification
- ☐ Military records verification

Comments: ____

(address), (phone number), (fax number), LIC # ____________

Date Faxed: _________ Time Faxed: _________ Position: _________ Location: _________

Courtesy of Peoria Unified School District #11, Glendale, Arizona.

Issues and Liabilities Related to Background Checks

WHAT ARE THE ISSUES?

Of more than 230,000 cases of child abuse in 1984, only slightly more than 200 involved school employees (Zakariya 1988). Given that kind of record, many lawmakers and educators emphasize applicant privacy rights in the investigation of potential employees. The National Education Association, for instance, has a policy asserting "the right to be free from fingerprinting as a condition of employment." Also of high concern is the worry that a person "not be punished twice for the same crime."

Others point to the potential for harmful behaviors in addition to child abuse—for instance, those that might derive from a pattern of drug abuse or inappropriate fiscal management—and argue that no effort can be considered too much when the well-being of children is involved. However individuals stand on this issue, district size appears to be a major determinant of how carefully schools screen employees (Titus and DeFrances 1989). Smaller districts rely more on references and informal sources. Larger systems tend to use bureaucratized procedures, including criminal record checks. These districts are more apt to allow employees to start working before all the checking is concluded and may have more difficulty in detecting and rejecting unsuitable applicants.

On a broader scale, Richard Schromm (telephone interview, July 1990), president-elect of the American Association of School Personnel Administrators and associate superintendent of personnel services, Santa Clara (California) County Office of Education, reports that the issue of "wrongful discharge"—when for any reason a school district fires someone shortly after hiring them because its initial screening failed—is a major concern of personnel administrators today.

WHAT ARE THE DISTRICT'S LIABILITIES?

In a report for the American Society for Personnel Administration, Michael Lotito and Margaret Bryant (1988) sum up the twin problems of background checks: "Say too much, and risk a lawsuit; ask too little, and risk a lawsuit."

If you "say too much" when asked about an employee, you can be liable for defamation, which *Black's Law Dictionary* defines as "the offense of injuring a person's character, fame, or reputation by false and malicious statements." Defamation actions require that "hurtful statements" be "published" to another person—for example, to a prospective employer. Citing legal action taken by employees who

continues

were fired for reasons other than those officially listed in their personnel records, Lotito and Bryant urge accuracy in all employee evaluations: "Truth is a complete defense to a charge of defamation."

If you "ask too little" when checking on a person, you can open yourself to a negligent hiring charge. A third party, such as a parent, can sue the district if employees are hired without thorough background checks and then commit a crime of any sort. This issue received attention from a U.S. district court in a Cleveland, Oklahoma, case. The court ruled that the school district had failed to investigate the background of a teacher who was hired with a molestation conviction on his record and then convicted of a second sexual abuse charge while working for the district (Splitt 1988).

The case hinged on evidence that a relative of the teacher had telephoned the district to warn that the teacher had "pedophile tendencies." Lawyers for the parents of the boys involved argued successfully that the district "showed a willful disregard or a deliberate indifference" to the students' safety. The district is appealing the case on the basis of the "limited duty of school officials." Oklahoma has no laws requiring background investigations on persons who otherwise meet the qualifications for the jobs they are seeking.

WHAT CAN YOU DO TO BE CAREFUL?

Many states have made Federal Bureau of Investigation (FBI) checks mandatory for teacher certification. Some, like California, require fingerprint checks of applicants for all school positions. The existence of this requirement, Schromm has found, discourages persons with more serious offenses on their records. If FBI checks are not mandatory, Zakariya recommends checking local police records. The police have the option of initiating FBI checks should they or the school officials have any question. Also check the registries of known child abusers that most states maintain. Lotito and Bryant offer advice on how to protect against both defamation and negligent hiring. Scrupulously keep copies of supporting documentation and make sure all oral or written statements about former employees relate strictly to work issues. When employees leave, obtain permission to give information to potential employers who may request it. The permission should include a release from all claims that might arise from giving such references.

Route all inquiries to professionals trained in the legal issues related to releasing information. Respond only to requests from persons who have clearly identified who they are and what their needs are for such information. To protect against hiring negligence, obtain as many references as possible and check them carefully. Document the investigation, including each time you request a reference. Be thorough when interviewing and take complete notes, including explanations from the applicant for all gaps in employment history.

continues

Ask if an applicant "has ever been convicted of a crime." (That information is public record and cannot be construed as invasion of privacy.) Give the applicant a chance to respond in advance to any controversial data that might arise from checking with a former employer. Have applicants sign release forms allowing the district to obtain information from former employers. In those states where employees have access to their own personnel files, ask them to request those files.

In checking references, Schromm suggests "seeking out those not listed as references who might know something about the applicant."

WHAT ARE THE KEY POINTS TO IDENTIFY IN POLICY STATEMENTS?

A joint statement by the American Association of School Administrators and the National Association of State Boards of Education offers the following guidelines for dealing with employees and events relating to the sexual abuse of children:

- Each state should routinely check for criminal convictions and review its statutes to clearly identify the authority and procedures relating to complaints and hearings, penalties and prosecution, and issues of rehabilitation and reinstatement.
- Local written policies should apply to all school employees, center on the problem of child abuse, and not be used to regulate employee sexual preferences.
- Clearly explain for parents and students how the reporting and handling of allegations regarding sexual abuse will proceed.
- Define the rights and responsibilities of all parties, including how the school will relate to social services and criminal justice systems.
- Provide for procedural due process to protect employee rights.
- When employees are allowed to resign and no criminal proceedings are initiated, records should reflect both the resignation and the circumstances surrounding it. Also, should the employee successfully complete a counseling/ treatment program, that information should be included in the file.

REFERENCES

Sexual Abuse of Children. A Joint Statement. No date. American Association of School Administrators and National Association of State Boards of Education.

Lotito, M. J. and M. R. Bryant. 1988. Reference Checking: Are the Professional's Hands Tied? *Human Resource Management Legal Report.* Alexandria, VA: American Society for Personnel Administration.

Splitt, D. A. 1988. School Law: Background Checks. *The Executive Educator 10,* no. 3: 12.

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Titus, R. M. and C. J. DeFrances. 1989. *Criminal Record Checks of Public School Employment Applicants*. ED 311 545. Eugene, OR: Educational Resources Information Center Clearinghouse on Educational Management.

Zakariya, S. B. 1988. How You Can Identify People Who Shouldn't Work with Kids. *The Executive Educator 10*, no. 8: 17–21.

Source: Alan Baas, "Background Checks on School Personnel," ERIC Digest Series EA 55, Educational Resources Information Center (ERIC) Clearinghouse on Educational Management, Eugene, Oregon, © 1999.

IMPROVE THE QUALITY OF BACKGROUND CHECKS

With summer comes the hiring season and the school district's responsibility for selecting qualified, energetic new staff members. A thorough background check—including a reference review, employment verification, criminal background check, and, when appropriate, review of driving history and civil court records—should be an essential part of this process.

To maximize the effectiveness of applicant background checks, apply the following 10 strategies:

1. *Ask applicants to sign a waiver specifically granting the school system permission to investigate their backgrounds.* Without the benefit of a waiver that authorizes criminal background checks through a law enforcement agency, school districts must go to the court of jurisdiction in the applicants' prior locations and search for convictions.
2. *Screen everyone considered for a school district job.* Anyone who has access to students should be screened thoroughly. Custodians, bus drivers, food service workers, and other noncertified support personnel should be subject to the same review as teachers, counselors, and administrators.
3. *Where possible, screen at both the federal and state level.* Checking applicant backgrounds with a state investigation bureau as well as the Federal Bureau of Investigation (FBI) helps minimize the possibility that an individual who lies on his or her application form about having a criminal record will "fall through the cracks." Because the typical state background check reveals only offenses that occur within that state, it may not find criminal records of applicants who move from state to state. A federal records check, which compares applicants' fingerprints with criminal records in all 50 states, potentially can identify offenses committed by applicants anywhere in the nation.

   However, the federal records check is not fail-safe. Although the FBI has access to records across the country, there is no law requiring local jurisdictions to supply the federal government with individual arrest and conviction information. A federal check only broadens the scope of the check; it does not guarantee that an applicant's complete history will be available.
4. *Review questions on the application form.* Most application forms ask individuals if they have been convicted of a crime rather than a felony. The question's phrasing can make a big difference in the information an applicant discloses.

   Do not attach a specific time frame to this question, such as "Have you been convicted of a crime in the last five years?" This type of question makes it more difficult to identify applicants who have criminal records, because anyone who was convicted of a crime 10 years ago wouldn't be obligated to report it.
5. *Look for warning signs on resumes and application forms.* Individuals who screen application materials should be alert for unexplained gaps in work history and patterns of job hopping.
6. *Wait until you're close to hiring someone before starting a background check.* The cost associated with background checks can be minimized by waiting until the final candidates for a position are chosen before initiating in-depth reviews.
7. *Ask if candidates may be rehired for their former jobs.* Candidates who are not eligible for re-hire should be re-interviewed and questioned pointedly about why. Ask the applicant to sign a release granting the school district the right to review his or her personnel record.
8. *Talk to multiple (four or five) references.* This will help you determine if a problem was an isolated incident or part of an ongoing pattern of behavior.
9. *Verify all negative information.* Anything negative must be verified from at least two different sources. This protects applicants from past colleagues or associates who may "have an ax to grind." Verify all reported convictions—whether identified on the application form or discovered through a records check—by asking the court of jurisdiction for a certified copy of the conviction.
10. *Limit liability while waiting for background check results.* Turnaround time on background checks can run anywhere from 4 to 12 weeks, which means that some new staff members may begin their jobs before the checks are completed. Until then, make sure new employees are adequately supervised and that they are not given undue freedom to take kids on field trips until the investigation is completed.

All offers of employment should be conditional, pending the results of a background check.

Source: "School Safety Begins with Effective Staff Screening," *Inside School Safety*, Vol. 1:3, Aspen Publishers, Inc., © 1996.

Sample Waiver of Liability

My witnessed/notarized signature on the (school district) application for employment authorizes school district personnel and security/police departments to conduct a complete background investigation and authorizes release of all information in connection with my application for employment. This investigation may include such information as criminal or civil arrests and convictions, driving records, previous educational or training institutions, previous employers, personal and developed references, professional references, and other appropriate or available sources. I waive my right of access to any of the information, and without limitation hereby release the school district and the reference source from whom the information was received from any liability in connection with its release or official use. This release includes all the sources mentioned above as well as the following specific examples: local police/sheriff and other state or federal law enforcement agency; information from any local, state, or federal record, or central record exchange of data or data on any and all criminal arrests or convictions; and any information from any state department of social services or child protective services unit and any other locality to which they may refer for information regarding any findings or investigations involving me, relating to child abuse, neglect, or domestic violence.

I hereby certify that all entries and statements are true, correct, and complete on this application and are subject to verification and relied upon in considering my application. I also understand that any omissions, false answers or statements made by me on this application, or any supplement to it, regardless of time of discovery, may be sufficient grounds for failure to employ me or for my discharge should I become employed by the school district.

Date Signature of applicant

Witness: Date Signature Print name

NOTARY (if applicable):

Note: School officials should review individual state laws with their attorneys before adopting this or any similar waiver.

Source: "Liability Waiver Can Improve Reference Checks," *Inside School Safety,* Vol. 2:1, Aspen Publishers, Inc., © 1997.

SCHOOL SUPERVISION

PREVENTING AND DEFENDING SEXUAL HARASSMENT CLAIMS IN SCHOOLS

TITLE VII SEXUAL HARASSMENT: EMPLOYEES AS VICTIMS

Definitions

1. **Quid pro quo** is when a supervisor demands sexual favors of an employee that results in a tangible employment action, such as hiring, firing, promotion, pay raise, etc. Tangible employment actions include the threat of a job detriment in return for the employee's refusal of sexual favors.
2. **Hostile work environment** is defined as unwelcome sexual advances, requests for sexual favors, or verbal or physical conduct of a sexual nature that is so severe or pervasive that it unreasonably interferes with an individual's work performance or creates an intimidating, hostile, or offensive working environment.

Liability will not attach for simple teasing, offhand comments or isolated incidents that are not extremely serious. *This does not mean for these instances, however, that an investigation should not be done or discipline not imposed.*

Sexual Harassment: Supervisor to Employee

- *Faragher v. City of Boca Raton*, 118 S. Ct. 2275 (1988) and *Burlington Industries, Inc. v. Ellerth*, 118 S. Ct. 2257 (1998).

1. **Hostile Environment:** An employer may assert an affirmative defense: (a) that it took reasonable preventative steps (e.g., had a harassment/discrimination policy that it publicized and enforced) **and** (b) that the complaining party unreasonably failed to use preventative or corrective measures (e.g., failed to follow the district's complaint procedures).
2. **Quid Pro Quo:** Employer may be held strictly liable for any supervisor's actions that result in a tangible employment action.

Sexual Harassment: Employee to Employee

- The Rule for coworker sexual harassment:

  An employer is generally liable if the employer knew or had reason to know of the harassing acts *and* failed to take prompt and effective action. *Fleenor v. Hewitt Soap Co.*, 81 F.3d 48 (6th Cir.); *cert. denied*, 117 S. Ct. 170 (1996); *Rabidue v. Osceola Refining Co.*, 805 F.2d 611 (6th Cir. 1986), *cert. denied*, 107 S. Ct. 1983 (1987).

Supervisor's Liability

1. **Title VII:** The majority of Federal Circuit Courts have held that supervisors **cannot** be held individually liable. *Wathen v. General Electric Co.*, 115 F.3d 400 (6th Cir. 1997).
2. **R.C. Chapter 4112:** The Ohio Supreme Court decided in January 1999 that individual supervisors and managers *can* be held individually and personally liable under Ohio law for damages for discrimination and harassment claims. *Genaro v. Central Transport, Inc.*, 84 Ohio St.3d 293 (1999).

R.C. Chapter 2744: Immunity; Indemnification

1. No immunity is available for actions done with a "malicious purpose, in bad faith, or in a wanton or reckless manner."
2. Employee should retain separate counsel; indemnification is unlikely.

TITLE IX SEXUAL HARASSMENT: STUDENTS AS VICTIMS

- **Title IX:** A district may be held liable by a private right of action for money damages under Title IX where it excluded persons or denied persons the benefits of or subjected persons to discrimination on the basis of gender within its programs or activities.

Sexual Harassment: Teacher/Employee to Student

1. *Gebser v. Lago Vista Independent Sch. Dist.*, 118 S. Ct. 1989 (1998).
   - The Rule:

     The sexually harassed student may not recover damages from the district "unless an official of the school district who, at a minimum, has authority to institute cor-

continues

Preventing and Defending Sexual Harassment Claims in Schools continued

rective measures on the district's behalf, has actual notice of, and is deliberately indifferent to, the teacher's misconduct."

2. *Massey v. Akron City Bd. of Educ.*, 82 F. Supp. 2d 735 (N.D. Ohio 2000).
   - The Northern District of Ohio denied summary judgment for the school district:
     a. "Notice" was found where "a legally appropriate representative of the employer was aware of facts—via any channel of communication—indicating a hostile environment." An "appropriate representative" is a supervisor who had the power to hire, fire, or discipline the alleged harasser.
     b. The Court further found that there was sufficient evidence for a reasonable jury to find that the board of education had a policy or custom of being *deliberately indifferent* to Bennett's sexual abuse and harassment of students because the district had repeated notice of Bennett's actions but failed to take sufficient corrective action.
     c. There was sufficient evidence to show that the students' rights were deprived by the board of education failing to take any corrective action.
     d. Lastly, the Court found that the board of education was not immune from this suit under R.C. Chapter 2744 and that there was a genuine question of material fact of whether the board acted with malice, in bad faith, or in a wanton and reckless manner.
3. Sexual Harassment as Child Abuse
   a. Most school employees are *mandatory child abuse reporters* under state law: employees are required to report any suspected child abuse or sexual abuse of a child under the age of 18 to the Children's Services Agency or a police officer. R.C. § 2151.421.
   b. A school employee who has sexual conduct (regardless of whether the student was willing) with a student may be prosecuted for *sexual battery* under the criminal laws of Ohio. See R.C. § 2907.03. Depending on the age of the student, other criminal charges may also be appropriate.
   c. A teacher or school administrator convicted of one of these crimes would be disqualified from being hired by a school district. R.C. § 3319.39.

Sexual Harassment: Student to Student

- *Davis v. Monroe County Bd. of Educ.*, 526 U.S. 629, 119 S. Ct. 1661 (1999); *Murrell v. School Dist. No. 1, Denver, Colorado*, 186 F.3d 1238 (10th Cir. 1999) and *Soper v. Hoben*, 195 F.3d 845 (6th Cir. 1999).

  The Davis Rule: A school district may be held liable for student-to-student sexual harassment where: the district had actual knowledge of and was deliberately indifferent to harassment that was so severe, pervasive, and objectively offensive that it deprived the victim of access to the educational benefits or opportunities provided by the school, and the harasser is under the school's disciplinary authority.

1. **Actual knowledge:** *Known acts* of student-on-student sexual harassment: someone in the school who has the authority to remedy the situation must have actual knowledge of the act(s) of harassment.
2. **Deliberate indifference:** knew about the harassment but failed to do anything about it.
3. **Sexual harassment:** must be conduct that is severe, pervasive, and objectively offensive.
4. **Deprive the victim of access to the educational opportunities or benefits** provided by the school, or so undermines and detracts from the victim's educational experience that it constitutes a denial of equal access to educational programs.
5. Harassment must take place in context subject to the *school district's control.* District must exercise "substantial control over both the harasser and the context in which the known harassment occurs."
6. **Individual liability for principals and teachers for student-to-student sexual harassment** (pursuant to § 1983, not Title IX):
   a. The *Murrell* court found that the principal and teachers could be held individually liable for monetary damages for their "deliberate indifference" toward the sexual harassment.
   b. § 1983 liability is based on a deliberate deprivation of constitutional rights by the school district—not mere negligence. The right being deprived here is equal protection (14th

continues

Preventing and Defending Sexual Harassment Claims in Schools continued

Amendment). To prove this, the plaintiffs must prove that the principal/teachers actually knew of and acquiesced in (were deliberately indifferent to) the sexual harassment.

   c. **Qualified Immunity:** Individuals would be entitled to qualified immunity for their actions *unless* their conduct clearly violated constitutional rights of which a reasonable person in their position would have known.
   d. The *Murrell* Court found that the principal and teachers could be held liable under the 14th Amendment (Equal Protection) for "deliberate indifference to the discriminatory conduct" of students where the conduct was obviously unlawful and the school employee was deliberately indifferent in the exercise of authority over the students.

7. **School remedies** for student-to-student sexual harassment:
   a. A school district does not have to expel all students who are accused of engaging in sexual harassment to avoid liability; it only needs to impose such discipline that is reasonably calculated to correct/end the harassment.
   b. District needs to respond to known instances of harassment "in a manner that is not clearly unreasonable."
   c. The Supreme Court gave some assurance that courts will defer to school disciplinary decisions.

PREVENTION

Sexual Harassment Policy and Grievance/ Complaint Procedures

A. All districts should have a policy on sexual harassment and complaint/grievance procedures for two reasons:
   1. Satisfy requirement for an affirmative defense in employee harassment cases (*Farager* and *Burlington Industries)*, and
   2. Satisfy the Title IX requirements for student harassment cases, 34 C.F.R. § 106.8 (must have a grievance procedure and an individual designated to handle such complaints).

While this exhibit addresses only sexual harassment, other forms of discrimination will need to be addressed in a district's policies, such as race, color, national origin, age, disability under the Americans with Disabilities Act and Section 504 of the Rehabilitation Act, etc.

B. Elements of a good policy:
   - *Definitions:* Define what actions constitute sexual harassment, such as verbal or physical conduct of a sexual or harassing nature, unwelcome sexual advances or requests. The policy may include types of harassment that extend beyond sexual harassment, such as racial, national origin and other types of prohibited discrimination.
   - *Describe what behavior is prohibited:* e.g., submission to or rejection of advances being used as a basis for employment or educational decisions, or any conduct that has the purpose or effect of unreasonably interfering with an individual's work or educational performance, creating an intimidating, offensive, or hostile work or educational environment.
   - *Appoint a Civil Rights Coordinator* (or similar such job) to receive complaints and perform or coordinate investigations.
   - *Confidentiality:* The district cannot guarantee or promise absolute confidentiality, nor can it promise to withhold the complaining party's name. Legally, the district needs to be able to use the individual's name—for the investigation process as well as (for students) potential reporting to Children's Services.
   - *No Retaliation:* The complaining party and the witnesses are protected by law from retaliation. If someone retaliates against one of these individuals, that person needs to be disciplined. *Caveat:* where individual makes a false claim, then the complaining party may be disciplined.
   - *Discipline:* State that discipline will be taken, when merited, in accordance with the Student Code of Conduct, board policy, or applicable collective bargaining agreement.
   - *Notification:* The policy and procedures should be put in student handbooks, employee handbooks, and other conspicuous places.

C. Elements of a good complaint/grievance procedure:
   - *Where to file a complaint:* Give the job title(s) for the person(s) who should receive complaints.

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Preventing and Defending Sexual Harassment Claims in Schools continued

- *Complaint Process:* The complaint procedure must have at least two levels—one investigation and one appeal level. Other levels may be added if the district so chooses.
- *Informal Investigation:* The informal investigation includes talking with the complaining party, the accused, any witnesses, and gathering of evidence. The investigator should attempt to resolve the situation, if possible. Where merited, discipline may be imposed. At a minimum, the complaining party and the accused should be notified of the outcome of the investigation. The investigation should start as soon as possible after a person submits a complaint—courts like to see it started within 24 to 48 hours, and concluded within several days to maybe a couple of weeks.
- *Appeal:* If the complaining party is not satisfied, he or she may appeal, typically to a higher administrator or the superintendent. That individual may then hold another hearing or gather more evidence and render a decision.

HANDLING AND INVESTIGATING A SEXUAL HARASSMENT COMPLAINT

Preliminary Issues

1. *Time:* Need to investigate complaints promptly—start within 24 to 48 hours of receipt of complaint. Finish the investigation in a couple of days up to maybe two weeks.
2. If an individual makes a complaint but asks the school employee to keep it confidential or not do anything about it, the employee will need to explain that he or she is under a legal duty to investigate. (If the claim is not investigated, both the individual and the district might incur liability.)
3. *Complaint:*
    a. *LISTEN!* Do not judge the truth of the allegations or substitute your reactions for the complaining party's. Even if complaining party fills out a complaint form on his or her own, you will want to sit down and interview the person thoroughly.
    b. Assure complainant of confidentiality *to the extent possible.*
    c. Treat all complaints seriously. (Never tell a complaining party, "oh, boys will be boys" or "you need to learn how to handle these things.")
    d. Assure complaining party that no retaliation should occur, or if it does, instruct the complaining party to let you know.
    e. Review the relationship of the employees and/or students involved (particularly important if the two individuals previously had been involved in a consensual relationship).
    f. Questions to ask (get as much detail as possible):
        - Who, what, when (date *and* time), where, how?
        - Public or private situation?
        - Witnesses? Other potential victims?
        - Did anyone see the complaining party immediately after the incident?
        - Times and dates? Frequency?
        - Documentary evidence: notes, e-mails, cards, gifts, etc.?
        - What was said and/or done?
        - What was complaining party's reaction/response to these incidents?
        - How would the complaining party like to see the situation resolved?
    g. Explain the process of filing a complaint, who will do the investigation, that the accused individual will need to be told about the complaint, including who made the complaint, etc.
4. Talk with the accused individual. The investigator will need to use names, dates, times, and events during this discussion. The accused needs the specific information about the complaint to explain the situation/defend him/herself. The accused also needs to be reminded that retaliation is not allowed.
    a. Questions to ask (get as much detail as possible):
        - What is your response to the allegations? What is the accused's version of the events?
        - If the accused claims the allegations are false, ask why the complaining party might lie.
        - Any witnesses/documents/evidence?

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    - Any other information that should be considered?
  b. Evaluate the accused's response.
    - Invalidate victim's reaction:
      –no sense of humor
      –can't take a joke
      –I was just teasing
      –she asked for it
    - Denial
    - Admission

5. Talk with any witnesses to the events.
  a. Assure them that they are protected from retaliation
  b. Questions to ask:
    - What did they see/hear?
    - When did this occur (times, dates)?
    - Describe alleged harasser's behavior toward the complaining party and toward others.
    - What did the complaining party/accused tell you? When were these comments made?
    - Any other relevant information? Other witnesses?
6. The investigator may want to talk with the individuals involved more than once to try to sort out different versions of the incident(s).
7. Make a determination as to whether the harassment/discrimination occurred.
  a. Evaluating evidence of harassment
  b. Credibility of parties: can be crucial if there are no witnesses ("he said, she said")
    - Plausibility of testimony?
    - Demeanor of individual?
    - Motive to lie?
    - Corroboration of stories?
    - Past record? (Does alleged harasser have record of similar behavior?)
  c. Are the complainant's allegations substantiated by facts?
  d. Are there other contemporaneous complaints or protests?
  e. What other comments or actions have been uncovered?
  f. Third-party corroboration of facts?
8. Promptly inform the complaining party and the accused individual of the results of the investigation.
  a. If no conclusion could be reached, at a minimum, review the policy and potential disciplinary actions with the alleged harasser (and the alleged harasser's parents, if the individual is a student) and make a notation of the review in his or her file.
  b. If harassment is not substantiated, no discipline would occur.
  c. If harassment is substantiated, take appropriate disciplinary action "reasonably calculated" to end the harassment as warranted by the Student Code of Discipline, appropriate collective bargaining agreement or Board policy. The discipline should be proportional to the seriousness of the offense and reasonably calculated to end the harassment.
  d. The investigator may wish to follow up later with the complaining party and accused harasser to make sure the situation is resolved and that no retaliation occurs.
9. Keep the records of the investigation—the investigation *notes* are not subject to public records requests. They would be subject to discovery if a lawsuit is filed. If the investigator prepares a written investigation report (official document), that would be subject to public records disclosure.

MEGAN'S LAW: A DISTRICT'S OPTIONS WHEN IT IS NOTIFIED ABOUT A SEXUAL PREDATOR MOVING INTO THE AREA

Registration and Notice of Sexual Predators and Habitual Sex Offenders

1. As of July 1, 1997, sexual predators and habitual sex offenders must register with the sheriff of the county in which they will be residing. (These requirements are contained in Chapter 2950 of the State Revised Code and State Administrative Code Chapter 109:5–2.)
2. The sheriff must provide written notice that an offender is moving into the area to: local schools, preschool programs, child day-care centers, all residents adjacent to the offender's residence, children's services, designated officer of each chartered nonpublic school, president or chief administrative officer of each institution of higher education, and the local police, marshal, or other local law enforcement in the area.
3. The sheriff's notice must include the offender's name, address, offense committed, and a state-

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Preventing and Defending Sexual Harassment Claims in Schools continued

ment that the offender has been adjudicated as being a sexual predator or habitual sex offender.

4. Regardless of the amount of information provided by the sheriff, the superintendent may wish to make a broad public records request for *any and all* records the sheriff might have concerning the sex offender, including but not limited to a photograph, physical description, address, offense committed, and whether the victim of the offense was a juvenile.

Senate Bill 78, which took effect last year, amended the state public records law to require public entities to mail copies of records upon request. Therefore, if the superintendent does not want to go to the sheriff's office to inspect and copy records, the superintendent may ask to have the requested records mailed to the District.

Notification of Certain Employees

1. Ohio law allows a school superintendent discretion regarding notifying employees and/or parents. The superintendent has a spectrum of options:
   a. Do nothing.
   b. Do some notifications, based on the facts of the situation and the superintendent's discretion.
   c. Notify everyone possible every time the District receives a sexual offender notice.
2. The superintendent may provide the information received from the sheriff to *employees* whose duties include *supervision of or responsibility for students*. The heads of preschool programs and administrators of child day-care centers (latchkey programs) *may* provide the information received from the sheriff to *employees* whose duties involve the *care, custody or control of children*.
3. The law *does not* require the superintendent to disseminate the information to any or all employees in a designated category, nor do the rules mandate the factors the superintendent must consider in deciding whether to share the information with employees.
4. Each employee who receives the information *must* be instructed to notify the superintendent/administrator promptly if the sexual predator or habitual sex offender is observed in the vicinity of the school or program. The superintendent/administrator *must* then notify local law enforcement if he or she believes the presence of the sexual predator or habitual sex offender appears to be without a legitimate purpose or otherwise creates concern for the safety of the children.

Notification of Parents, Guardians or Adult Students

The Attorney General's rules also provide that the superintendent may tell parents, guardians, and adult students that a notice was received from the sheriff. The rules prohibit the superintendent from releasing any information to parents, guardians, or adult students *other than* the fact that the district received notice that a sexual predator or habitual sex offender is residing within the specified geographical notification area and that certain information concerning the offender is a public record and is open to inspection, under Section 149.43 of the State Revised Code, at the sheriff's office. OAC § 109:5-2-04(G).

Responding to Public Inquiry

School employees who receive inquiries from the public, parents or students about a sex offender should refer them to the sheriff's office or the superintendent.

Not a Public Record

It would be the safest course of action to treat the notice received from the sheriff as *exempt from disclosure* as a public record pursuant to State Revised Code Section 149.43(A)(1)(o).

Courtesy of Jerry E. Nathan and James P. Burnes, Bricker & Eckler LLP, Columbus, Ohio.

CONTRACT POLICIES

PRINCIPAL PERFORMANCE CONTRACTS

WHAT IS A PRINCIPAL PERFORMANCE CONTRACT?

The relationship between each local school council (LSC) and its principal is governed by the State School Reform Act and the principal performance contract. The principal performance contract agreed upon by a particular LSC and its principal is based on the Board of Education's Uniform Principal Performance Contract (UPPC). LSCs can negotiate with the principal and add requirements to the UPPC. The UPPC contains many of the primary terms of the principal's employment, such as the principal's four-year term of employment, the principal's duties, criteria for evaluating the principal's job performance, and when and how to end the contract.

CAN THE TERMS OF THE UNIFORM PRINCIPAL PERFORMANCE CONTRACT BE CHANGED OR DELETED?

The employment terms set forth in the UPPC cannot be changed, but the LSC and its principal may agree on certain additions to the performance contract. The LSC and the principal are not required to add anything to the UPPC.

HOW DOES THE LSC DETERMINE WHETHER TO ADD TERMS TO A PRINCIPAL'S CONTRACT?

As an initial matter, the LSC must decide whether or not it is necessary in a particular case to add anything to the UPPC. Each member of the LSC should read the UPPC carefully in order to determine if additional terms are appropriate in view of any special circumstances at the school or prior discussions with the principal.

For example, if the LSC is retaining a current principal, it may be helpful to reflect on past experience with the principal. Perhaps there have been some specific expectation and performance issues, such as communications with the LSC or compliance with the school improvement plan, that could be spelled out more clearly in the new principal performance contract. On the other hand, if the working relationship with the principal has been smooth and the LSC is satisfied with the principal's performance, additions to the UPPC may not be necessary or may strain an otherwise good relationship.

In some situations, negotiated additions to the UPPC may be an excellent tool for building a strong working relationship with a principal. The additional terms may be included simply to enable both the LSC and the principal to understand exactly what is expected of each party over the course of the four-year contract. To the extent the details of the relationship are made clear through additions to the UPPC, future misunderstanding may be minimized and the LSC will have a good framework for evaluating the principal's job performance. In assessing what additions may be useful, the LSC might consider specific items discussed with the principal during the interview process or shortcomings of past principals that can be avoided with the new principal through agreement in the principal's performance contract.

IMPERMISSIBLE ADDITIONS TO THE PRINCIPAL'S PERFORMANCE CONTRACT

Although the LSCs have a great deal of flexibility in negotiating additions to the UPPC, there are certain limitations. The additions may not discriminate on the basis of race, sex, creed, color, or disability unrelated to a principal's ability to perform his or her job. Additions cannot contradict the terms of the UPPC, the State School Code, and the Board of Education rules, regulations and policies. In order to ensure compliance with these requirements, any proposed additions to the UPPC are subject to the approval of the Board of Education's law department.

WHAT TYPES OF ADDITIONS ARE APPROPRIATE FOR THE PRINCIPAL'S PERFORMANCE CONTRACT?

Additions to the performance contract should be tailored to the needs and goals of the particular school. LSCs should choose goals for school improvement carefully and realistically. Additions

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Principal Performance Contracts continued

should be very specific in order to enable the LSC to best evaluate whether the principal has performed the terms. Some suggestions include issues such as communication with the local school council, a schedule for reporting to the LSC on school programs, or professional development guidelines.

ARE THERE ANY OTHER CONSIDERATIONS THE LSC SHOULD MAKE REGARDING THE NEGOTIATION OF THE PRINCIPAL'S PERFORMANCE CONTRACT?

Throughout the process of selecting a principal and negotiating the principal performance contract, it is important for the members of the LSC to keep in mind that this is the beginning of a long and successful working relationship. Although it is an important negotiating strategy to present and maintain a strong position, it is equally important to be cooperative and flexible during the negotiation process—both parties have to be satisfied with the final product.

HOW DOES THE LSC NEGOTIATE CONTRACT ADDITIONS WITH THE PRINCIPAL?

There are no strict rules governing the negotiation process, but, at its best, it involves an exchange of proposals, discussion, changes to the proposals and, ultimately, an agreement. First, the LSC must decide whether to add anything to the UPPC. In some cases, it may make more sense to incorporate specific performance goals in the School Improvement Plan, rather than the principal performance contract. If the LSC does decide to add terms to the principal performance contract, the LSC must agree among itself on what additions it would like to make. The proposed additions should be very specific and clear. The LSC should meet to plan its proposal, agree on a set of additions, and put the proposed additions in writing and sign and date the proposal.

WHAT FORMAT SHOULD THE WRITTEN PROPOSAL FOLLOW?

There is no set format for the written proposal; any clear statement of the purpose and content of the proposal will suffice. The proposal should be signed and dated. It is very important that the LSC is comfortable with all of its proposed additions to the UPPC before it is presented to the principal.

WHAT IS THE NEXT STEP ONCE THE WRITTEN PROPOSAL IS READY?

When the proposal is ready, it should be presented to the principal. The principal must then review the proposed additions and determine whether or not they are acceptable. The principal may then accept or reject the proposal or may propose alternative additions. If the principal decides to accept the LSC's proposal, he should sign and date the proposal to indicate his acceptance. If the principal rejects the proposal, the LSC and the principal should discuss the reasons for the rejection. An important element of this negotiation process is the LSC's ability to isolate the objectionable items of the proposal from those with which the principal is comfortable. Any items on the LSC's proposal to which both parties agree should be initialed by both parties.

HOW SHOULD THE LSC HANDLE DISAGREEMENTS OVER THE TERMS OF THE PROPOSAL?

Once the LSC and the principal identify the specific items of the proposal to which the principal objects, the LSC may revise the proposal, taking into account the principal's position. Or, the LSC may ask the principal to prepare his or her own counter-proposal. If the principal plans on preparing a counter-proposal, the LSC and the principal should agree in advance that the items on the LSC's initial proposal that were not objectionable will remain a part of any counter-proposal.

WHAT IS THE NEXT STEP AFTER REVISING THE PROPOSAL OR RECEIVING A COUNTER-PROPOSAL?

After the LSC delivers its revised proposal or the principal delivers his or her counter-proposal, the parties should meet and discuss their views of the proposals. In evaluating a principal's counter-proposal, it is advisable for the LSC to meet first without the principal in order to determine its collective reaction to the principal's counter-proposal. In meeting with the principal to discuss the proposals,

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Principal Performance Contracts continued

all parties should try to keep an open mind and be flexible. In this regard, it is important to balance the dual goals of the LSC's desired additions to the UPPC and of developing a positive working relationship with the principal. After a meeting to discuss the proposals, it may be necessary to exchange another round of proposals, which incorporate items that have been agreed to through negotiation and negotiated modifications of items that are still up for discussion.

ARE THERE ANY LEGAL REQUIREMENTS FOR APPROVING A PRINCIPAL'S CONTRACT?

When the LSC and the principal are satisfied through the exchange of proposals and discussions that an agreement to additional terms has been reached, the LSC should take a final vote in an open meeting to approve the contract. Note that if the principal is currently a member of the LSC, or if there is a student representative on the LSC, the principal and the student are not counted for the purpose of determining whether there is a quorum for an LSC meeting about the vote and are not permitted to vote on the matter.

IS THERE A DEADLINE BY WHICH THE LSC MUST DECIDE ON A PRINCIPAL?

The School Reform Act requires the LSC to select a new principal or determine whether to renew a principal's performance contract by April 15 of the year the current principal's contract expires. Accordingly, the LSC should plan in advance and anticipate that several sessions may be necessary in order to reach a final agreement on any additions to the UPPC. However, the process should not be hastily completed simply to meet the deadline. For example, the LSC should not sign the UPPC before the LSC and principal have agreed to the additions. The LSC may use the April 15 deadline to its advantage in negotiating contract additions. For example, if the LSC is having difficulty in reaching an agreement with its favorite candidate for principal, it could decide to look for another candidate for principal. If the candidate for principal is aware of this possibility, it may motivate him to more readily agree to the LSC's proposals.

Source: "Principal Performance Contracts," *Lawyers' School Reform Advisory Project*, Chicago Lawyers' Committee For Civil Rights Under Law, Chicago, Illinois, © 1998.

DECIDING WHETHER TO RENEW YOUR PRINCIPAL'S CONTRACT: SUGGESTED GUIDELINES

Prior to the expiration of the principal's performance contract, the Local School Council (LSC) must determine whether to renew the principal's contract.

MAKING A CONTRACT RENEWAL DECISION

By What Date Must the LSC Inform the Current Principal about Whether the LSC Intends To Renew the Principal's Contract?

According to the principal performance contract, LSCs must inform the principal in writing whether the council intends to make an offer to rehire him or her by February 1 of the year the principal's contract expires. Thus, if your principal's contract expires June 30, 1999, the LSC must inform the principal of whether or not it will renew the contract for another four-year term by February 1, 1999.

See the following two sample letters. One can be used to inform a principal that the LSC has voted to renew the contract for another four-year term, and the other can be used to inform a principal that the LSC has voted not to renew the contract for another four-year term.

NOTE: A principal who enters into a performance contract with an LSC after 1996 will be subject to a different rule if the contract does not expire on June 30 of a year. In that case, the principal will need to be informed about whether or not the LSC will renew the contract no later than 150 days prior to the expiration of the contract.

Are There Requirements That Must Be Met for an LSC To Renew the Principal's Contract?

In February 1997, the Board of Trustees adopted a policy relating to the retention of principals. Under that policy, a principal must meet certain requirements in order to have his or her performance contract renewed by the LSC. These requirements are as follows:

- The principal has successfully completed all duties and responsibilities under the contract, as shown by a portfolio review and an annual evaluation of the CEO and the LSC that shows that the principal has met or exceeded expectations in the areas of evaluation.
- The principal has completed thirty-two (32) clock hours of professional development every other year.
- The principal has completed the state-mandated professional development program.

NOTE: The policy seems to indicate that the principal needs to have one evaluation in which he or she exceeds expectations. It does not clarify whether this one evaluation must be the most recent, or can be any evaluation from the prior three and a half years.

Is the LSC under Any Legal Obligation To Renew the Current Principal's Contract?

No, the LSC is not under any legal obligation to renew the principal's contract. In interpreting the LSC's power to decide whether or not to renew a principal's contract, a federal appeals court stated that it was permissible for the LSC to decide not to renew a principal's contract even if the only reason for the decision is that the LSC members decided that a change in the school's leadership is desirable.

An LSC may decide that it does not want to renew the principal's contract automatically, but that it would like to open up a selection process and consider other potential candidates for the position. It can even vote to invite the current principal to be a candidate for the position. Of course, an LSC that does this runs the risk of having its current principal take a position elsewhere.

What Are the Voting Requirements That the LSC Must Follow with Regard to the Renewal Decision?

In order to pass a motion to renew the principal's contract for another four-year term, a motion to renew must pass with the affirmative vote of a majority of serving members of the LSC. Principals and high school student members cannot vote on the renewal matter. Additionally, a quorum of the LSC must be present, and the principal and high school student member cannot be considered in determining whether a quorum is present.

For example, a quorum of six members of an elementary school LSC and seven members of a high school LSC must be present to vote on the renewal

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Deciding Whether To Renew continued

decision. In neither case can the principal or student representative be counted in determining whether a quorum is present.

Does the Open Meetings Act Apply to Meetings Regarding the Renewal Decision?

The LSC may close a meeting when it is discussing the retention of the principal. Although the LSC may discuss and deliberate on the renewal decision at a closed meeting, no final action may be taken at a closed meeting. All final action by the LSC must be taken at an open meeting, and the LSC must begin the open meeting with an explanation that informs the public about the business being decided.

RENEWING THE PRINCIPAL'S CONTRACT

By What Date Must the LSC Sign a New Contract with the Principal?

If the LSC decides to retain the principal, he or she must sign the new performance contract by April 15 of the year in which his or her current contract expires. If the LSC wants to have any additional terms added to the principal's performance contract, these also need to be a part of the contract by April 15.

What Is the Term of a Principal's Renewed Contract?

If the LSC decides to renew the principal's performance contract, the LSC and principal enter into a new agreement for a term of four years.

NOT RENEWING THE PRINCIPAL'S CONTRACT

What Procedures Must Be Followed If the LSC Decides Not To Renew the Current Principal's Contract?

The School Reform Act requires an LSC to give written reasons why it is not renewing the principal's contract only if the principal requests it.

How Detailed Must the Written Reasons for Not Renewing Be?

The law does not require the written reasons be in great detail; a simple summary statement of the reasons is enough.

Are There Any Legal Issues the LSC Should Keep in Mind When Writing the Statement?

Yes, the LSC should be careful in preparing the written statement. If the statement suggests that the reason the contract was not renewed is illegal (for example, if the reason is based on the principal's race, sex, religion, ethnic origin, or disability), the statement could provide the basis for a lawsuit. It is strongly recommended that the LSC seek legal advice in preparing the statement. The Lawyers' School Reform Advisory Project will provide pro bono assistance on request.

Do the Written Reasons Have To Be Submitted by a Certain Date?

There is no deadline for the submission of the written statement. The LSC should meet in a closed meeting and prepare a statement reasonably soon after receiving the request.

What Happens to the Principal If the LSC Decides Not To Renew His or Her Contract?

If the LSC decides not to renew the principal's contract, his or her employment as a principal terminates upon the expiration of the current contract. The principal is free to apply for any other position for which he or she is qualified.

Source: "Deciding Whether to Renew Your Principal's Contract: Suggested Guidelines," *Lawyers' School Reform Advisory Project*, Chicago Lawyers' Committee For Civil Rights Under Law, Chicago, Illinois, © 1998.

PRINCIPAL CONTRACT RENEWED
SAMPLE LETTER

([Name of School]: Local School Council)
(Address of School)
(Date)

(Name of Principal)
(Address of Principal)

Dear (Name of Principal):

We are pleased to inform you that the Local School Council of the (Name of School) voted on (Date) to renew your performance contract as principal of the school.

The LSC also voted to enter into a contract with you that had additional terms covering the following issues: (optional)

Sincerely,
([Name of School]: Local School Council)
By: (LSC Chairperson)

Source: "Deciding Whether to Renew Your Principal's Contract: Suggested Guidelines," *Lawyers' School Reform Advisory Project*, Chicago Lawyers' Committee For Civil Rights Under Law, Chicago, Illinois, © 1998.

PRINCIPAL CONTRACT NOT RENEWED
SAMPLE LETTER

([Name of School]: Local School Council)
(Address of School)
(Date)

(Name of Principal)
(Address of Principal)

Dear (Name of Principal):

This is to inform you that the Local School Council of the (Name of School) voted on (Date) not to renew your performance contract as principal of the school.

The LSC also voted to request that you submit your name as a candidate for the position of principal of the school.) (optional)

Sincerely,
([Name of School]: Local School Council)
By: (LSC Chairperson)

Source: "Deciding Whether to Renew Your Principal's Contract: Suggested Guidelines," *Lawyers' School Reform Advisory Project*, Chicago Lawyers' Committee For Civil Rights Under Law, Chicago, Illinois, © 1998.

TERM CONTRACTS: NONRENEWAL POLICY

REASONS

The recommendation to the Board and its decision not to renew a contract under this policy shall not be based on an employee's exercise of Constitutional rights or based unlawfully on an employee's race, color, religion, sex, national origin, disability, or age. Reasons for proposed nonrenewal of an employee's term contract shall be:

1. Deficiencies pointed out in observation reports, appraisals or evaluations, supplemental memoranda, or other communications
2. Failure to fulfill duties or responsibilities
3. Incompetency or inefficiency in the performance of required or assigned duties
4. Inability to maintain discipline in the classroom or at assigned school-related functions
5. Insubordination or failure to comply with official directives
6. Failure to comply with Board policies or administrative regulations
7. Conducting personal business during school hours when it results in neglect of duties
8. Reduction in force because of financial exigency or program change
9. Drunkenness or excessive use of alcoholic beverages; illegal use of drugs, hallucinogens, or other substances regulated by the State Controlled Substances Act
10. The possession, use, or being under the influence of alcohol, alcoholic beverages, or drugs and narcotics as defined by the State Controlled Substances Act, while on school property, working in the scope of the employee's duties, or attending any school- or District-sponsored activity
11. Conviction of a felony or any crime involving moral turpitude
12. Failure to meet the District's standards of professional conduct
13. Failure to comply with reasonable District requirements regarding advanced course work or professional improvement and growth
14. Disability, not otherwise protected by law, that impairs performance of required duties
15. Immorality, which is conduct the Board determines is not in conformity with the accepted moral standards of the community encompassed by the District (Immorality is not confined to sexual matters, but includes conduct inconsistent with rectitude, or indicative of corruption, indecency, or depravity.)
16. Any activity, school-connected or otherwise, that, because of publicity given it, or knowledge of it among students, faculty, and community, impairs or diminishes the employee's effectiveness in the District
17. Reasons specified in individual employment contracts reflecting special conditions of employment
18. Failure to maintain an effective working relationship, or maintain good rapport, with parents, the community, or colleagues
19. A significant lack of student progress
20. Assault on an employee or student
21. Falsification of records or other documents related to the District's activities
22. Misrepresentation of facts to a supervisor or other District official in the conduct of District business
23. Failure to fulfill requirements for certification, including passing the TECAT or ExCet
24. Failure to fulfill the requirements of a deficiency plan under an Emergency Permit, a Special Assignment Permit, or a Temporary Classroom Assignment Permit
25. Any attempt to encourage or coerce a child to withhold information from the child's parent
26. Reasons constituting good cause for dismissing the employee during the contract term

RECOMMENDATIONS FROM ADMINISTRATION

Administrative recommendations for renewal or proposed nonrenewal of professional employee contracts shall be submitted to the Superintendent. The Superintendent shall require that each administrator's recommendation be accompanied by copies of all pertinent information necessary to a decision to recommend proposed nonrenewal. The final decision on the administrative recommendation to the Board on each employee's contract rests with the Superintendent.

SUPERINTENDENT'S RECOMMENDATION

The Superintendent shall prepare lists of employees whose contracts are recommended for renewal

continues

BEST COPY AVAILABLE

Term Contracts: Nonrenewal Policy continued

or proposed nonrenewal by the Board. Copies of written evaluations, other supporting documentation, if any, and reasons for the recommendation shall be submitted for each employee recommended for proposed nonrenewal. The Board shall consider such information, as appropriate, in support of recommendations for proposed nonrenewal and shall then act on all recommendations.

NOTICE OF PROPOSED RENEWAL OR NONRENEWAL

The Superintendent shall deliver to the employee by hand or certified mail, return receipt requested, written notice of proposed renewal or nonrenewal not later than the 45th day before the last day of instruction required in the contract. If the notice of proposed nonrenewal does not contain a statement of the reason or all of the reasons for the proposed action, and the employee requests a hearing, the District shall give the employee notice of all reasons for the proposed nonrenewal a reasonable time before the hearing. The initial notice or any subsequent notice shall contain the hearing procedures.

REQUEST FOR HEARING

If the employee desires a hearing after receiving the notice of proposed nonrenewal, the employee shall notify the Board in writing not later than the 15th day after the date the employee received the notice of proposed nonrenewal. When a timely request for a hearing on a proposed nonrenewal is received by the Board President, the hearing shall be held not later than the 15th day after receipt of the request, unless the parties mutually agree to a delay. The employee shall be given notice of the hearing date as soon as it is set.

HEARING PROCEDURE

The hearing shall be conducted in closed meeting unless the employee requests that it be open, with only the members of the Board, the employee, the Superintendent, their representatives, and such witnesses as may be called in attendance. Witnesses may be excluded from the hearing until it is their turn to present evidence. The employee and the administration may each be represented by a representative of each party's choice. Notice, at least five days in advance of the hearing, shall be given by each party intending to be represented, including the name of the representative. Failure to give such notice may result in postponement of the hearing.

The conduct of the hearing shall be under the Board President's control and in general shall follow the five steps listed below:

1. The hearing shall begin with the administration's presentation, supported by such proof as it desires to offer.
2. The employee may cross-examine any witnesses for the administration.
3. The employee may then present such testimonial or documentary proof, as desired, to offer in rebuttal or general support of the contention that the contract be renewed.
4. The administration may cross-examine any witnesses for the employee and offer rebuttal to the testimony of the employee's witnesses.
5. Closing arguments may be made by each party.

A record of the hearing shall be made so that a certified transcript can be prepared, if required.

BOARD DECISION

The Board may consider only such evidence as is presented at the hearing. After all the evidence has been presented, if the Board determines that the reasons given in support of the recommendation to not renew the employee's contract are lawful, supported by the evidence, and not arbitrary or capricious, it shall so notify the employee by a written notice not later than the 15th day after the date on which the hearing is concluded. This notice shall also include the Board's decision on renewal, which decision shall be final.

Courtesy of North East Independent School District, San Antonio, Texas.

Notice of Proposed Contract Nonrenewal

Note: For hearings conducted by the Board.

Date: ________________________

Name: ____

Address: ____

City/State/ZIP: ____

Dear____________________:

YOU ARE HEREBY NOTIFIED that the Superintendent of ______________ School District has recommended to the Board of Trustees at a lawfully called meeting of the Board of Trustees on (date) ____________________, that your employment contract as (job title) ____________________ in the District not be renewed for the succeeding school year, and the Board voted to propose the nonrenewal.

This notice is given pursuant to the provisions of Section 21.206 of the Texas Education Code.

The recommendation not to renew your contract is being made for the following reasons:

(LIST ALL REASONS IN DETAIL.)

If you desire a hearing, not later than the 15th day after receipt of this written notice, you must notify the Board of Trustees in writing of such request. The Board shall provide a hearing to be held not later than the 15th day after receipt of your notice requesting a hearing. Such hearing shall be closed unless you request an open hearing. If you fail to make a timely request for a hearing, the Board may proceed to make a determination upon the Superintendent's recommendation not later than the 30th day after the date the Board sends you notice of the proposed nonrenewal.

If you have any questions concerning any of the reasons supporting the proposed action to nonrenew your contract, please advise the Superintendent in writing.

Attached to this notice is a copy of the District's policy on nonrenewal of term contracts, containing the rules for the hearing.

This notice dated at (City/State/ZIP): ______________________________,

Date: ______________________________ BY: ______________________________

President, Board of Trustees
____________________ School District

Courtesy of North East Independent School District, San Antonio, Texas.

EMPLOYMENT POLICIES

ADMINISTRATOR PERSONNEL FILES POLICY

A. It is recognized that the District will maintain two personnel files for each administrator, one at the central office and one at the work location. The administrator's work location personnel file shall be located in the office of the administrator's supervisor.

B. A copy of each written document concerning an administrator that the School District places in the administrator's work location and/or central office personnel files shall be provided that administrator. The administrator must sign the personnel file copy of the document as acknowledgment of receipt of a copy of the document. Such signature is not to be construed as agreement to the contents of the document. Normal working memorandum that for some reason generates a response from an administrator does not meet the criteria for placement of the memorandum in the personnel file of an individual.

C. Only evaluations, documents identified as steps in progressive discipline, and responses to evaluation and progressive discipline documents are to be placed in the administrator's work location and/or central office personnel files. Upon the request of the administrator and the approval of the District, documents of commendation may also be included in the administrator's work location and/or central office personnel files.

D. It is understood that pre-employment information, individual contracts, communication from the personnel office related to placement, and information related to the administrative selection process is also kept in the administrator's central office personnel file.

E. A conference summary or personnel notification as described in Article 27-8 may be temporarily placed in the administrator's work location and/or central office personnel file until the investigation is completed. Once the investigation is completed, the writing shall be removed and, if appropriate, it may be replaced with a disciplinary document as described in Article 27-8. Investigations must be completed in a reasonable time, which will not exceed one (1) year unless extraordinary circumstances exist in which the District has no control over meeting this timeline.

F. Medical records, settlement agreements, grievances/grievance decisions, and arbitration decisions shall not be placed in the administrator's work location and/or central office personnel files.

G. An administrator may prepare a written response that will become a part of the administrator's personnel files and will remain a part of said files as long as the document responded to remains a part of the files. In order to ensure that the response is not inadvertently overlooked, the document will be countersigned by the receiving supervising administrator and shall be attached to the supervisor's document. If an administrator desires to make a written response to any document by the supervisor, the administrator's response must be made within thirty (30) school days. Upon written request of the administrator, a waiver of the time limits by the supervisor, not to exceed ten (10) school days, may be granted, which will not be unreasonably withheld. When a copy of the supervisor's written document is forwarded to any other location, a copy of the administrator's written response must be attached.

H. Access to personnel files of an administrator shall be on a need to know basis only. The central office personnel file of an administrator shall be kept in the Human Resources Division, and the work location file shall be kept in the supervisor's office. Review of such files shall be noted by the date and signature of the reviewer. Members of the Board of School Trustees, the superintendent of schools, the assistant superintendent of Administrative Operations and Staff Relations, the administrator's immediate supervisor, the appropriate assistant superintendent, all employees of the Human Resources Division, District legal counsel, or as otherwise authorized by law shall be exempt from this requirement.

I. Any time after a period of three (3) years and one (1) day from issuance, supervisory reports, comments, reprimands, or other such documents except evaluations placed in an adminis-

continues

Administrator Personnel Files Policy continued

trator's personnel files shall be removed upon written request of that administrator. It is agreed that such documents shall not be used in disciplinary action against the administrator.

J. Admonitions issued to an administrator, who within the time granted for improvement has met the standards set for him or her by the administrator who issued the admonition, will be removed from the records of the administrator together with all notations and indications of its having been issued upon written request of that administrator. An admonition must be removed from the records of the administrator not later than three (3) years and one (1) day after it is issued.

K. Documents that are removed from the central office and/or work location files are to be returned to the administrator. Copies of documents that are removed from the administrator's file may be maintained in a legal file in the Office of the Superintendent and are accessible only in the defense of litigation or in the defense of employment-related actions.

L. With the exception of the legal file maintained in the Superintendent's office under this section, the only administrator's personnel files maintained by the County School District are the administrator's work location and central office personnel files.

Courtesy of Clark County School District, Las Vegas, Nevada.

Appendixes

Appendix A—Resources.......................App A:1

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Appendix A

Resources

ASSOCIATIONS AND ORGANIZATIONS

American Association for Employment in Education (AAEE)
3040 Riverside Drive, Suite 125
Columbus, OH 43221
614-485-1111
www.aaee.org

American Association of School Administrators
1801 North Moore Street
Arlington, VA 22209
703-528-0700
www.aasa.org

American Association of School Personnel Administrators (AASPA)
3080 Brickhouse Court
Virginia Beach, VA 23452
757-340-1217
www.aaspa.org

American Educational Research Association
1230 Seventeenth Street, NW
Washington, DC 20036
202-223-9485
http://aera.net

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American Federation of Teachers
555 New Jersey Avenue, NW
Washington, DC
202-879-4400
www.aft.org

AmeriCorps
1201 New York Avenue, NW
Washington, DC 20525
202-606-5000
www.americorps.org

Association for Educational Communications and Technology
1126 Sixteenth Street, NW
Washington, DC 20036
202-347-7834
www.aect.org

Association of California School Administrators
1517 L Street
Sacramento, CA 95814
916-444-3216
www.acsa.org

Association of School Business Officials, International
11401 North Shore Drive
Reston, VA 22090-4352
703-478-0405
www.asbointl.org

Association for Supervision and Curriculum Development (ASCD)
1250 Pitt Street
Alexandria, VA 22315-1453
800-933-2723
www.ascd.org

Bureau of Juvenile Justice Assistance Clearinghouse
P.O. Box 6000
Rockville, MD 20849
800-688-4252
www.ncjrs.org

California School Leadership Academy
300 Lakeside Drive, 18th Floor
Oakland, CA 94612
510-302-4261
www.csla.org

Center for Community Change
1000 Wisconsin Avenue, NW
Washington, DC 20007
202-342-0567
www.communitychange.org

Center for Creative Leadership
One Leadership Place, Suite 27410
P.O. Box 26301
Greensboro, NC 27438
336-545-2810
www.ccl.org

Center for Educational Leadership and Technology
CELT Corporation
199 Forest Street
Marlborough, MA 01752
508-624-4474
www.celtcorp.com

Center for Educational Renewal
College of Education DQ-12
University of Washington
Seattle, WA 98195
206-543-6230

Center for Leadership Development
12522 Moorpark Street, Suite 111
Studio City, CA 91604
818-980-5711

Center for Leadership in School Reform
4425 Preston Highway
Louisville, KY 40213
502-456-3319

Center for Leadership Services
Education 106
University of Colorado
Denver, CO 80204-5300
303-556-3358

Center for the Prevention of School Violence
313 Chapanoke Road, Suite 140
Raleigh, NC 27603
800-299-6054
www.ncsu.edu/cspv

Center on Positive Behavior Interventions and Supports
5262 University of Oregon
Eugene, OR 97403-5262
541-346-2505
www.pbis.org/english

Center for Performance Assessment
1660 South Albion, Suite 110
Denver, CO 80222

Center for Youth Development and Policy Research
Academy for Educational Development
1825 Connecticut Avenue, NW, 9th Floor
Washington, DC 20009
202-884-8000
www.acd.org

CEO Forum on Education and Technology
1341 G Street, NW, Suite 110
Washington, DC 20005
202-585-0209
www.ceoforum.org

The Community Board Program
1540 Market Street, Suite 490
San Francisco, CA 94102
415-552-1250
Nonprofit organization, specializing in conflict resolution with videos, curriculums and training manuals to teach problem solving skills.
http://eric-web.tc.columbia.edu/directories/anti-bias/cbp.html

Council for Educational Development and Research
1201 Sixteenth Street, NW, Suite 305
Washington, DC 20036
202-223-1593
www.cedar.org

Council of Administrators of Special Education
615 Sixteenth Street, NW
Albuquerque, NM 87104
505-243-7622

The Council of Chief State School Officers
One Massachusetts Avenue, NW, Suite 700
Washington, DC 20001-1431
202-408-5505
www.ccsso.org

Council of School Attorneys
1680 Duke Street
Alexandria, VA 22314
703-838-6722
www.nsba.org/cosa

Council of the Great City Schools
1301 Pennsylvania Avenue, NW, Suite 702
Washington, DC 20004
202-393-2427
www.cgcs.org

Designs for Change
220 South State Street, Suite 1900
Chicago, IL 60604
312-922-0317

Division of Education Policy Research and Services
Educational Testing Service
Rosedale Road
Princeton, NJ 08541
609-734-5694

Education Commission of the States
707 17th Street, Suite 2700
Denver, CO 80202-3427
303-299-3600
www.ecs.org

Education Development Center, Inc.
55 Chapel Street
Newton, MA
617-969-7100
www.edc.org

Education Law Association
Mail Drop 0528
300 College Park
Dayton, OH 45469
937-229-3589
www.educationlaw.org

Educational Accountability
4800 Magnolia Lane
Plymouth, MN 55442
763-553-1745
www.educationalaccountability.com

Educational Research Service
2000 Claredon Boulevard
Arlington, VA 22201
800-791-9308
www.ers.org

Educational Resources Information Clearinghouse
Access Eric
2277 Research Boulevard M54M
Rockville, MD 20850
800-LET ERIC
www.accesseric.org

ERIC Clearinghouse on Counseling and Student Services
School of Education
University of North Carolina at Greensboro
201 Ferguson Building
Greensboro, NC 27402-6171
800-414-9769
www.ericcass.uncg.edu

ERIC Clearinghouse on Educational Management
5207 University of Oregon
Eugene, OR 97403
800-438-8841
http://eric.uoregon.edu

ERIC Clearinghouse on Urban Education
Institute for Urban and Minority Education
Fairfield Information Services & Associates
P.O. Box 744
Lancaster, OH 43130
877-644-6463

Fairfield Information Services & Associates
P.O. Box 744
Lancaster, OH 43130
877-644-6463
www.backgroundchecks.com

International Center for Leadership in Education
1587 Route 146
Rexford, NY 12148
518-399-2776
www.edulink.org

Institute for Educational Leadership
1001 Connecticut Avenue, NW, Suite 310
Washington, DC 20036
212-822-8405
www.togetherwecan.org

Intercultural Development Research Association
5835 Callaghan Road, Suite 350
San Antonio, TX 78228
210-444-1710
www.idra.org

International Network of Principal Centers
Harvard Graduate School of Education Service Center
336 Gutman Library
Cambridge, MA 02138
617-495-9812

Lawyer's School Reform Advisory Project
100 North LaSalle, Sixth Floor
Chicago, IL 60602
312-332-2492
www.clccrul.org

Learning First Alliance
1001 Connecticut Avenue, NW, Suite 335
Washington, DC 20036
202-296-5220
www.learningfirst.org

Mentoring Leadership and Resource Network
834 Inverrary Lane
Deerfield, IL 60015
www.mentors.net

National Alliance of Black School Educators
310 Pennsylvania Avenue, SE
Washington, DC 20003
800-221-2654
www.nabse.org

National Association of Elementary School Principals
1615 Duke Street
Alexandria, VA 22314
800-38-NAESP
www.naesp.org

National Association of Secondary School Principals
1904 Association Drive
Reston, VA 20191-1537
703-860-0200
www.nassp.org

National Association of State Boards of Education
277 South Washington Street, Suite 100
Alexandria, VA 22314
703-684-4000
www.nasbe.org

National Board for Professional Teaching Standards
1525 Wilson Boulevard, Suite 500
Arlington, VA 22209
www.nbpts.org

National Center for Education Information
4401 Connecticut Avenue, NW, Suite 212
Washington, DC 20008
202-362-3444
www.ncei.com

National Center for Education Statistics
1990 K Street, NW
Washington, DC 20006
202-502-7300
www.nces.ed.gov

National Center for Research on Teacher Learning
College of Education
Michigan State University
116 Erickson Hall
East Lansing, MI 48824
517-353-4994
http://nctrl.msu.edu

National Commission on Teaching and America's Future
Teachers College, Columbia University
525 W. 120th Street, Box 110
New York, NY 10027
www.tc.edu/nctaf

National Education Association
1201 16th Street, NW
Washington, DC 20036
202-833-4000
www.nea.org

National Institute for Dispute Resolution
1726 M Street, NW, Suite 500
Washington, DC 20036-4502
202-466-4764
www.ncl.org/anr/partners/nidr.htm

National Institute on Educational Governance, Finance, Policymaking and Management
OERI, U.S. Department of Education
555 New Jersey Avenue, NW
Washington, DC 20208-5510
202-219-2032
www.ed.gov/offices/OERI/GFI

National Mentoring Partnership
1600 Duke Street, Suite 300
Alexandria, VA 22314
703-224-2200
www.mentoring.org

National Middle School Association
4151 Executive Parkway, Suite 300
Westerville, OH 43081
800-528-6672
www.nmsa.org

National Network for Educational Renewal
Center for Educational Renewal
University of Washington
Box 353600
Seattle, WA 98195-3600
206-543-3600
http://weber.u.washington.edu/~cedren

National Partnership for Excellence and Accountability in Teaching (NPEAT)
1307 New York Avenue
Washington, DC 20005
202-463-0771
www.npeat.org

National Resource Center for Safe Schools
101 SW Main, Suite 500
Portland, OR 97204
800-268-2275
www.safetyzone.org

National School Boards Association
1680 Duke Street
Alexandria, VA 22314-3493
800-706-6722
www.nsba.org

National Staff Development Council
P.O. Box 240
Oxford, OH 45056
513-523-6029
www.nsdc.ord

National Teacher Recruitment Clearinghouse
385 Concord Avenue, Suite 103
Belmont, MA 02478
617-489-6000
www.recruitingteachers.com

National Ten-Point Leadership Foundation
411 Washington Street
Boston, MA 02124
617-282-6704
http://ojjdp.ncjrs.org/pubs/gun-violence/profile46.htm

New Leaders for New Schools
18 West 27th Street, Suite 7C
New York, NY 10001
646-424-0900
www.nlns.org

North American Association of Educational Negotiators
122 White Pine Drive
Springfield, IL 62707
217-529-7902
www.naen.org

Office of Elementary and Secondary Education
400 Maryland Avenue, SW
Washington, DC 20202
202-401-0113
www.ed.gov/offices/OESE/index.html

Partnership to Encourage the Next Century's Urban Leaders (PENCUL)
312-853-3690
www.pencul.org

Phi Delta Kappa International
Center for Professional Development Services
408 N. Union Street
P.O. Box 789
Bloomington, IN 47402
800-766-1156
www.pdkintl.org

Public Education Networks' Teacher Quality Initiative
601 13th Street, NW
Washington, DC 20005
202-628-7460
www.publiceducation.org

School Administrator's Publishing Company
P.O. Box 3388
Olathe, KS 66063
www.sapco.org

SchoolLaw.com
P.O. Box 7570
Downtown Station
Portland, ME 04112
800-772-1941
www.schoollaw.com

SchoolMatch
Blendonview Office Park
5027 Pine Creek Drive
Westerville, OH 43081
614-890-1573
School litigation services, employee background checks.
www.schoolmatch.com

School Mediation Associates
134 W. Standish Road
Watertown, MA 02172
617-926-5969
www.schoolmediation.com

Teach for America
315 W. 36th Street, 6th Floor
New York, NY 10018
800-832-1230
www.teachforamerica.org

Texas Principals Leadership Initiative
14205 Burnet Road, Suite 120
Austin, TX 78728
512-310-9465
www.tpli.org

Together We Can Initiative
c/o Institute for Educational Leadership
1001 Connecticut Avenue, NW, Suite 310
Washington, DC 20036
212-822-8405
www.togetherwecan.org

University Council for Educational Administration
116 Farmer Building
Tempe, AZ 85287-2211
602-965-6690

EVALUATION

Publications

Administrator Evaluation Handbook: How To Design a System of Administrative Evaluation; B. MacPhail-Wilcox & R. Forbes, 1990. Available from Phi Delta Kappa International. Phone: 800-766-1156. Web site: www.pdkintl.org. ISBN 0-87367-726-9. Product Code: AEH.

A practical, research-based guide to help schools and school districts develop their own administrator evaluation systems.

Creating a Digital Portfolio; C. Baron, Indianapolis, IN: Hayden Books, 1996.

Designing Professional Portfolios for Change; K. Burke, Palatine, IL: IRI/Skylight. Training and Publishing, 1997.

Educational Leadership for America's Schools; A.R. Odden, New York, NY: McGraw-Hill, 1995.

Effective Staff Evaluations: A Legal Perspective; Video narrated by school attorney Harry R. Pringle. Available from SchoolLaw.com, P.O. Box 7570, Downtown Station, Portland, ME 04112; Phone: 800-772-1941. www.schoollaw.com

Holding Principals Accountable: Seven Considerations for Effectively Evaluating Your Site Administrators; D.B. Reeves, 1998. Available online at www.aasa.org/publications/sa/1998_10/Reeves.htm.

Instruments for Evaluation; L. Lashway, 1998. Available online at www.aasa.org/publications/sa/1998_10/lashway.htm.

An array of tools that give depth and breadth to formal assessments of principals.

Leadership for the Schoolhouse: How Is It Different? Why Is It Important?; T.J. Sergiovanni, San Francisco, CA: Jossey-Bass, 1996.

Leading Minds: An Anatomy of Leadership; H. Gardner, New York, NY: Basic Books, 1995.

Measuring Leadership: A Guide to Assessment for Development of School Executives; L. Lashway, 1999. Available from ERIC Clearinghouse on Educational Leadership, 5207 University of Oregon, Eugene, OR 97403. Phone: 800-438-8841. Web site: http://eric.uoregon.edu/publications. ISBN 0-86552-140-9.

Performance Standards and Criteria for Evaluating Professional Public School Employees. Available online at www.dpi.state.nc.us/esareports/7_evalrp.pdf.

Principal Evaluation. Available from Educational Research Service. Phone: 800-791-9301. Web site: www.ers.org

Describes appropriate criteria, models and procedures for evaluating a principal, and suggestions for principal evaluation programs.

The Principal Portfolio; G. Brown & Beverly Irby, Thousand Oaks, CA: Corwin Press, 1997.

Requesting Principal Removal "For Cause": Suggested Guidelines. Available online at www.clccrul.org/removal.htm.

*Termination of School Employees: Legal Issues and Techniques;*1997. ISBN 0-88364-210-7. Available from Council of School Attorneys, 1680 Duke Street, Alexandria, VA 22314. Phone: 703-838-6722. Web site: www.nsba.org/cosa. ISBN 0-86552-140-9.

This monograph addresses the legal issues and suggests effective techniques associated with proper termination of school employees.

What's Worth Fighting for in the Principalship?; M. Fullan, New York, NY: Teachers College Press, 1997.

Web Sites

School Improvement Specialists
www.schoolspecialists.com

HIRING

Publications

The Guide to Background Investigations; R. Ling. Order from National Employment Screening Services, Inc., 8801 S. Yale, Tulsa, OK 74137. Phone: 918-491-9936.

The Preemployment Process: Avoiding Impermissible Inquiries and the Effect of the Americans with Disabilities Act; J.L. Horton, 1993. Available from Education Law Association. Phone: 937-229-3589. Web site: www.educationlaw.org. ISBN 1-56534-081-7.

Discusses legal considerations in the pre-employment process, focusing on avoiding impermissible inquiries. Contains samples of inappropriate and appropriate job application forms.

The Principal: Keystone of a High-Achieving School: Attracting and Keeping the Leaders We Need. Available from Educational Research Service. Phone: 800-791-9301. Web site: www.ers.org

Identifies the characteristics of effective principals. Suggests steps to attracting and retaining quality school leaders.

Recruiting and Selecting Principals. Available online at www.ed.gov/databases/ERIC_Digests/ed297481.html.

Recruiting the Best: A Guide to Successful Recruitment Strategies in Education. Available from American Association for Employment in Education. Phone: 614-485-1111. Web site: www.aaee.org

Handbook for recruiters containing articles on marketing, maximizing your attendance at job fairs, creating online marketing, developing partnerships with college career services, training site-based interview teams, questions you shouldn't ask, recruiting teachers of color, and retention/mentoring programs.

Web Sites

Academic Employment Network
www.academploy.com

American Association of School Administrators
Online job listing service.
www.aasa.org/jobs/jobsTC.htm

Background Checks
www.backgroundsonline.com

Background Checks
www.avert.com

Background Checks—SchoolChoice™
http://schoolmatch.com/cp/index.html

Education World
www.education-world.com

School Executive Searches
Goens/Esparo, LLC
www.goensesparo.com

LEGAL ISSUES

Publications

Effective Staff Evaluations: A Legal Perspective; Video narrated by school attorney Harry R. Pringle. Available from SchoolLaw.com, P.O. Box 7570, Downtown Station, Portland, ME 04112. Phone: 800-772-1941. Web site: www.schoollaw.com

Legal Basics; E.B. Kelly, 1998. Available from Phi Delta Kappa International. Phone: 800-766-1156. Web site: www.pdkintl.org. ISBN 0-87367-806-0. Product Code: LB.

"Superintendents, principals, counselors, teachers, and paraprofessionals need to pay close attention to their actions in schools and classrooms—from a legal standpoint." Emphasizes practical matters pertinent to day-to-day work in schools.

Legal Memorandum Newsletter. Available from National Association of Secondary School Principals, 1904 Association Drive, Reston, VA 20191. Phone: 703-860-0200. Web site: www.nassp.org

Provides in-depth information on prominent topics in education law.

The Preemployment Process: Avoiding Impermissible Inquiries and the Effect of the Americans With Disabilities Act; J.L. Horton, 1993. Available from Education Law Association. Phone: 937-229-3589. Web site: www.educationlaw.org. ISBN 1-56534-081-7.

Discusses legal considerations in the pre-employment process, focusing on avoiding impermissible inquiries. Contains samples of inappropriate and appropriate job application forms.

The Principal's Legal Handbook; W. Camp, J. Underwood, M.J. Connelly, & K. Lane, eds. Available from Education Law Association. Phone: 937-229-3589. Web site: www.educationlaw.org. ISBN 1-56534-056-6.

Four sections include: Students and the Law, Special Education and the Law, Teachers and the Law, and Schools and the Law.

School Law in Review; 2001. Available from Council of School Attorneys, 1680 Duke Street, Alexandria, VA 22314. Phone: 703-838-6722. Web site: www.nsba.org/cosa. ISBN 0-88364-245-X.

Digest of papers presented at the 2001 Annual School Law Seminar, including topics such as: disciplining students for off-campus Web sites, handling the errant board member, bilingual issues, religion in school, and Section 504.

School Officials and the Courts: Update 2000; D. Thompson & F. Hartmeister. Available from Educational Research Service. Phone: 800-791-9301. Web site: www.ers.org

Resource for an understanding of court rulings on elementary and secondary education issues. Provides a broad treatment of case law involving public school issues in a readable style.

Termination of School Employees: Legal Issues and Techniques; 1997. Available from Council of School Attorneys, 1680 Duke Street, Alexandria, VA 22314. Phone: 703-838-6722. Web site: www.nsba.org/cosa. ISBN 0-88364-210-7.

This monograph addresses the legal issues and suggests effective techniques associated with proper termination of school employees.

Web Sites

AACTE EdPolicy Clearinghouse
www.edpolicy.org

BitLaw
Online comprehensive Internet resource on technology law.
www.bitlaw.com

Cornell Law School
www.law.cornell.edu/index.html

Educational Research Service
www.ers.org

FedLaw
Education Statutes and Regulations
http://fedlaw.gsa.gov/legal11.htm

FindLaw Internet Legal Resources
www.findlaw.com

SchoolLaw.com
www.schoollaw.com

OTHER PUBLICATIONS AND WEB SITES OF INTEREST

Publications

A,B,C,D,E,F,G: A Planning Brief for the Teacher Development Continuum; R. Pitcock, 2000. Available from American Association of School Personnel Administrators. Phone: 757-340-1217. Web site: www.aaspa.org

Suggests ways in which a district recruitment plan can be developed. Features a plan from one school district and a recruitment audit from another.

Assessing a School Staff as a Community of Professional Learners; S.M. Hord, M. Meehan, S. Orletsky & B. Sattes, 1999. Available free online: www.sedl.org/pubs/catalog/items/cha37.html.

Behavioral Management in the Public Schools: An Urban Approach; N.R. Macciomei & D.H. Ruben, eds, Westport, CN: Praeger Publishing, 1999. ISBN 0-275-96327-6.

This professional guide provides empirically tested methods for classroom application including advancing steps to integrate schools and community, alternative assessments, cultural diversity programming, and peer-mediation innovations. Easy-to-use methods based in research discussion prove that public school systems can win the war against urban oppression.

Education Leadership Toolkit: Change and Technology in America's Schools. Available online at www.nsba.org/sbot/toolkit.

A technology resource for school-board members.

Family and Community Involvement: Reaching Out to Diverse Populations, 2000. Southwest Educational Development Laboratory, 211 East 7th Street, Austin, TX 78701. Phone: 800-476-6861. Web site: www.sedl.org

Geared toward teachers, principals, and superintendents who want to develop meaningful parent and community involvement. Provides tips on how to communicate effectively with parents and how to make parents comfortable in your school.

The Incompetent Teacher: Managerial Responses; E. Bridges, Bristol, PA: The Falmer Press, 1992.

The Journal of Curriculum and Supervision. Available from the Association for Supervision and Curriculum Development, 1703 North Beauregard Street, Alexandria, VA 22311. Phone: 703-578-9600. Web site: www.ascd.org/framejcs.html

Legal Handbook on School Athletics. Available from the Council of School Attorneys, 1680 Duke Street, Alexandria, VA 22314. Phone: 703-838-6722. Web site: www.nsba.org/cosa

Legal Issues and Education Technology: A School Leader's Guide, 1999. Available from Council of School Attorneys, 1680 Duke Street, Alexandria, VA 22314. Phone: 703-838-6722. Web site: www.nsba.org/cosa

Middle Matters Newsletter. Available from the National Association of Elementary School Principals, 1615 Duke Street, Alexandria, VA 22314. Phone: 800-38-NAESP, 703-860-0200. Web site: www.naesp.org

Designed to meet the special needs of the administrators of schools serving grades 5–8.

New Alliance of Superintendents and Principals: Applying the Research to Site-Based Decision-Making; S.M. Hord, 1992. Available free online: www.sedl.org/pubs/catalog/items/cha18.html.

Principal Magazine. Available from the National Association of Elementary School Principals, 1615 Duke Street, Alexandria, VA 22314. Phone: 800-38-NAESP, 703-860-0200. Web site: www.naesp.org

Written by and for K–8 principals.

Principals and Teachers: Continuous Learners: Issues About Change; G. Fleming & T. Leo, Vol 7, No 2, 1999. Available free online: www.sedl.org/pubs/catalog/items/cha40.html.

Principal's Role in the Instructional Process: Implications for At-Risk Students; S. Mendez-Morse, 1991. Available free online: www.sedl.org/pubs/catalog/items/cha19.html.

Profiles of Leadership in Education; M.F. Goldberg, 2000. Available from Phi Delta Kappa International. Phone: 800-766-1156. Web site: www.pdkintl.org. ISBN 0-87367-826-5. Product Code: PLE.

Inspirational and practical reading for aspiring education leaders.

Safe Schools, Safe Communities, 2000. Available from Council of School Attorneys, 1680 Duke Street, Alexandria, VA 22314. Phone: 703-838-6722. Web site: www.nsba.org/cosa. ISBN 0-88364-238-7.

Emphasizing the need for cooperation to prevent and respond to violence at school, this book examines how schools and communities can work together to make our schools safe.

School Leadership: Handbook for Excellence, 3rd ed; S.C. Smith & P.K. Piele, eds, 1997. Available from ERIC Clearinghouse on Educational Leadership, 5207 University of Oregon, Eugene, OR 97403. Phone: 800-438-8841. Web site: http://eric.uoregon.edu/publications. ISBN 0-86552-135-2.

School Planning and Management. Free magazine. Available at: www.spmmag.com.

Sexual Harassment by School Employees, 2001. Available from Council of School Attorneys, 1680 Duke Street, Alexandria, VA 22314. Phone: 703-838-6722. Web site: www.nsba.org/cosa. ISBN 0-88364-237-9.

Student Expulsions: Effective Practice and Procedure; Video narrated by D.A. Kopp & B.W. Smith, school attorneys. Available from SchoolLaw.com, P.O. Box 7570, Downtown Station, Portland, ME 04112. Phone: 800-772-1941. Web site: www.schoollaw.com

Student-to-Student Sexual Harassment: A Legal Guide for Schools, revised ed, 2000. Available from Council of School Attorneys, 1680 Duke Street, Alexandria, VA 22314. Phone: 703-838-6722. Web site: www.nsba.org/cosa

Supporting New Teachers: A Fundamental Responsibility. Available online: www.newteachercenter.org/article1.html.

Teacher Recruitment and Retention Strategies for Smaller Schools: A Handbook for Superintendents and School Boards; E.A. Seifert & W.H. Kurtz, San Marcos, TX: Small School Resource Center, Southwest Texas State University, 1983. ED 234 972.

Technology 2005: A Look to the Future, Video. Available from International Center for Leadership in Education, 1587 Route 146, Rexford, NY 12148. Phone: 518-399-2776. Web site: www.edulink.org

The 21st Century Principal; J.S. Kaiser, Mequon, WI: Stylex Publishing Company, 1995.

Testing, Teaching and Learning: A Guide for States and School Districts; R. Elmore & R. Rothman, eds, 1999. National Research Council. Available online: www.nap.edu/catalog/9609.html.

To Run A School: Administrative Organization and Learning; C.A. Simon. (2001). Westport, CN: Praeger Publishers, 2001. ISBN 0-275-96834-0.

Through detailed case studies and their varied outcomes, Simon provides scholars, students, and public policy makers in education policy and administration with valuable insights into contemporary educational ideas.

Total Leaders: Applying the Best Future-Focused Change Strategies to Education; C. Schwahn & W. Spady, Arlington, VA: American Association of School Administrators, 1998.

Transforming America's Schools: An Administrator's Call to Action; J. Murphy & J. Schiller. Open Court Publishing Company. Phone: 800-852-0790.

Vital Information for Quality Schools: The Principal's Handbook, 2001-2002. Available from Educational Research Service. Phone: 800-791-9301. Web site: www.ers.org

Available in "Elementary and Middle School Edition," and "Secondary School Edition."

Provides research and practical ideas on current and emerging issues confronting today's principals including: Becoming an Effective Leader, Finding and Keeping High-Quality Teachers, Handling Safety and Security Issues, and more.

Voices in the Hall: High School Principals at Work; W.E. Webster, 1994. Available from Phi Delta Kappa International. Phone: 800-766-1156. Web site: www.pdkintl.org. ISBN 0-87367-472-3. Product Code: VH.

Three-year study reveals insights into the high school principalship today.

Web Sites

The Alliance for Parent Involvement in Education
www.croton.com/allpie

Columbus Education Association
Peer Assistance and Review Program
www.ceaohio.org

Discipline with Dignity®
A flexible program for effective school and classroom management.
www.disciplineassociates.com

Eisenhower Professional Development State Grants
www.ed.gov.pubs/ArtsEd/part5.html

First Steps®
Schoolwide professional development model.
www.first-steps.com

Inspiring Teachers
www.inspiringteachers.com

Kappan-Phi Delta Kappa's Professional Online Journal for Education
www.pdkintl.org/kappan/kappan.htm

Mentoring Leadership and Resource Network
www.mentors.net

Model Teacher Recruitment Programs
Golden Apple Scholars of Illinois
www.goldenapple.org/scholars.html

National Board for Professional Teaching Standards
Information on raising teacher standards.
www.nbpts.org

National Staff Development Council
Comprehensive site resource for information about professional development.
www.nsdc.org

Northwest Regional Educational Laboratory
Extensive information and resources on professional development.
www.nwrel.org

Peer Assistance & Review
A Guidebook for planning and implementing a peer assistance and review program.
www.utoledo.edu/colleges/education/par

Recruiting New Teachers, Inc.
www.rnt.org

School Improvement Specialists
www.schoolspecialists.com

Teachers and Personnel Grants
Bilingual Education Professional Development
www.ed.gov/offices/OBEMLA/facts-tap.html

Teacher Quality Enhancement Grants
www.ed.gov/offices/OPE/heatqp

Training for all Teachers Grants
Bilingual Education Professional Development
www.ed.gov/offices/OBEMLA/facts-tfat.html

Troops to Teachers (TTT)
http://voled.doded.mil/dantes/ttt

PROFESSIONAL DEVELOPMENT

Publications

124 High-Impact Letters for Busy Principals; M. Grady. Thousand Oaks, CA: Corwin Press, 2000.

Achieving Your Vision of Professional Development: How To Assess Your Needs and Get What You Want; D. Collins, Tallahassee, FL: Southeastern Regional Vision for Education (SERVE), 1998. Available online: www.serve.org/Publications/list.htm

This "how-to" resource guide offers many tips to help at each stage of building an effective professional development system.

Beginning the Principalship: A Practical Guide for New School Leaders; J. Daresh & M. Playko, Thousand Oaks, CA: Corwin Press, 1997.

Best Ideas from America's Blue Ribbon Schools: What Award-Winning Elementary and Middle School Principals Do. Available from National Association of Elementary School Principals, 1904 Association Drive, Reston, VA 20191. Phone: 703-860-0200. Web site: www.naesp.org

Collaborative Professional Development Process for School Leaders, 2000. Available from Council of Chief State School Officers, One Massachusetts Avenue, NW, Suite 700, Washington, DC 20001. Phone: 202-336-7016. Web site: www.ccsso.org

Counseling Tips for Elementary School Principals; J.A. Kottler & E.K. McEwan. Thousand Oaks, CA: Corwin Press, 1998.

Tune into potential problems with students, parents, and staff. Recognize behaviors or situations that signal a need for help, and then determine the level of intervention needed.

Critical Issue: Evaluating Professional Growth and Development; C.J. Cook & C.S. Fine, 1997. Available online: www.ncrel.org/sdrs/areas/issues/educatrs/profdevl/pd500.htm.

Developing Expert Leadership for Future Schools; K. Leithwood, P.T. Begley, & J.B. Cousins, Washington: Falmer Press, 1994.

Directory: Leadership Training Resources, 1995. Order from the Institute for Educational Leadership. Phone: 212-224-1174. Web site: www.iel.org

The Elementary Principal Series. Available from Phi Delta Kappa International. Phone: 800-766-1156. Web site: www.pdkintl.org

Nine volumes include: The Principal and Leadership, The New Principal: Learning About Your School and Community, The Principal and Communication, The Principal and Supervision, The Principal and Discipline, The Principal and Fiscal Management, The Principal and the Law, The Principal and School-Based Staff Development, and The Principal and Strategic Planning.

Handbook of Instructional Leadership: How Really Good Principals Promote Teaching and Learning; J. Blasé & J. Blasé, Thousand Oaks, CA: Corwin Press, 1998.

If I Only Knew: Success Strategies for Navigating the Principalship; H.A. Alvy & P. Robbins, Thousand Oaks, CA: Corwin Press, 1998.

An Encyclopedic compilation of insights on the major issues confronting school principals.

If You Want To Lead, Not Just Manage: A Primer for Principals; D.R. Dunklee, Thousand Oaks, CA: Corwin Press, 2000.

The book emphasizes the social and behavioral skills that define principalship.

Leadership for Student Learning: Reinventing the Principalship. Available online from the Institute for Educational Leadership: www.iel.org

Leadership for the Schoolhouse; T.J. Sergiovanni, San Francisco, CA: Jossey-Bass, Inc., 1996.

Leadership Styles. Available from Educational Research Service. Phone: 800-791-9301. Web site: www.ers.org

Discusses leadership styles that school executives can adopt to provide effective management.

Learning to Lead: A Workbook on Becoming a Leader; W. Bennis & J. Goldsmith, Thousand Oaks, CA: Corwin Press, 1997.

The Principal: Creative Leadership for Effective Schools, 3rd ed, G.C. Ubben & L.W. Hughes, Boston, MA: Allyn and Bacon, 1997.

Principal Leadership Magazine. Available from the National Association of Secondary School Principals, 1904 Association Drive, Reston, VA 20191. Phone: 703-860-0200. Web site: www.nassp.org

The Principal's Companion: Strategies and Hints To Make the Job Easier; P. Robbins & H. Alvy, Thousand Oaks, CA: Corwin Press, 1995.

Professional Development for School Principals. Available from Educational Research Service. Phone: 800-791-9301. Web site: www.ers.org

Discusses characteristics of effective professional development for administrators, and how administrators can design personal development plans to help them provide leadership for outstanding schools.

Professional Development: Learning from the Best. Available online: www.ncrel.org/pd/toolkit.htm.

A toolkit for schools and districts based on the National Awards Program for Model Professional Development.

Reengineering Performance Management; T. Weiss & F. Hartle, Boca Raton, FL: St. Lucie Press, 1997.

Reshaping the Principalship: Insights from Transformational Reform Efforts; J. Murphy & K.S. Louis, Thousand Oaks, CA: Corwin Press, 1994.

Staff Development Programs: A Guide to Evaluation; T.W. Mullins, Thousand Oaks, CA: Corwin Press, 1994.

Time Management for Administrators. Available from Educational Research Service. Phone: 800-791-9301. Web site: www.ers.org

Includes steps and techniques useful in organizing time through scheduling, delegation, and use of staff, and eliminating wasteful uses of time.

"What To Consider When Evaluating Staff Development"; T. Guskey & D. Sparks, 1999, *Educational Leadership*, 49(3), 73-76.

Thoughtful and succinct examination of the issues surrounding effective evaluation of professional development.

Why Don't We Do What We Know Works?; B. Powell, In Designing Professional Development for a Standards-Based System, Sacramento, CA: California Professional Development Reform Initiative, 1998.

Web Sites

Appalachia Educational Laboratory (AEL)
www.ael.org

Bank Street College Principals Institute
www.bnkst.edu/html/leadershipcenter/html/principal.html

CEO Forum on Education & Technology
www.ceoforum.org

Center for Creative Leadership
www.ccl.org

Eisenhower Professional Development Federal Activities Grants
www.ed.gov/offices/OERI/ORAD/eisenhow.html

Eisenhower Professional Development State Grants
www.ed.gov.pubs/ArtsEd/part5.html

First Steps®
Schoolwide professional development model.
www.first-steps.com

International Confederation of Principals
www.icponline.org

Leadership Development, Computer & Management Courses Online
http://store.principals.org/Timssnet/Common/TNT_ShowDetail.cfm

Mentoring Leadership and Resource Network
www.mentors.net

Mid-continent Research for Education and Learning (McRel)
www.mcrel.org

National Staff Development Council
Comprehensive site resource for information about professional development.
www.nsdc.org

North Central Regional Educational Laboratory (NCREL)
www.ncrel.org

Northwest Regional Educational Laboratory
Extensive information and resources on professional development.
www.nwrel.org

Pacific Resources for Education and Learning (PREL)
www.prel.org

Pathways to School Improvement
Information on designing and evaluating effective professional development.
www.ncrel.org/sdrs/areas/pd0cont.htm

Partnership to Encourage the Next Century's Urban Leaders (PENCUL)
www.pencul.org

Principals "On Call" Program
Retired and experienced principals available to serve as a resource to other principals in the field.
http://education.bellarmine.edu/kyeav/principals.htm

School Improvement Specialists
www.schoolspecialists.com

Southeastern Regional Vision for Education (SERVE)
www.serve.org

Southwest Educational Development Laboratory (SEDL)
www.sedl.org

Together We Can Initiative
www.togetherwecan.org

WestEd
www.wested.org

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